

U.S. SECURITIES AND  
EXCHANGE COMMISSION

FISCAL YEAR 2019



ANNUAL  
EQUAL EMPLOYMENT  
OPPORTUNITY PROGRAM  
STATUS REPORT

MANAGEMENT DIRECTIVE 715

Some information referenced in this report has been redacted to protect privacy.  
Please contact the Director of the SEC's Office of Equal Employment Opportunity  
at 202-551-6040 or [OEEO@sec.gov](mailto:OEEO@sec.gov) to request access to non-public information.

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# U.S. SECURITIES AND EXCHANGE COMMISSION INFORMATION (PARTS A, B, C, D)

## Part A: Department or Agency Identifying Information

Agency	Second Level Component	Address	City	State	Zip Code (xxxxx)	Agency Code (xxxx)	FIPS Code (xxxx)
U.S. Securities and Exchange Commission	N/A	100 F Street, NE	Washington	DC	20549	SE00	11001

## Part B: Total Employment

Total Employment	Permanent Workforce	Temporary Workforce	Total Workforce
Number of Employees	4,266	99	4,365

## Part C: Agency Leadership

### Section I: Head of Agency and Head of Agency Designee

Agency Leadership	Name	Title
Head of Agency	Jay Clayton	Chairman
Agency Head Designee	Peter J. Henry	Director, Office of Equal Employment Opportunity

### Section II: Agency Official(s) Responsible for Oversight of EEO Program(s)

EEO Program Staff	Name	Title	Occupational Series (xxxx)	Pay Plan and Grade (xx-xx)	Phone Number (xxx-xxx-xxxx)	Email Address
Principal EEO Director/Official	Peter J. Henry	Director, Office of Equal Employment Opportunity	0905	SO	202-551-7001	<a href="mailto:henryp@sec.gov">henryp@sec.gov</a>
Affirmative Employment Program Manager	Peter J. Henry	Director, Office of Equal Employment Opportunity	0905	SO	202-551-7001	<a href="mailto:henryp@sec.gov">henryp@sec.gov</a>
Complaint Processing Program Manager	M. Stacey Bach	Deputy Director, Office of Equal Employment Opportunity	0905	SK-17	202-551-8599	<a href="mailto:bachm@sec.gov">bachm@sec.gov</a>
Diversity & Inclusion Officer	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	202-551-6503	<a href="mailto:gibbsp@sec.gov">gibbsp@sec.gov</a>
Hispanic Program Manager (SEPM)	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	202-551-6503	<a href="mailto:gibbsp@sec.gov">gibbsp@sec.gov</a>

EEO Program Staff	Name	Title	Occupational Series (xxxx)	Pay Plan and Grade (xx-xx)	Phone Number (xxx-xxx-xxxx)	Email Address
Women's Program Manager (SEPM)	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	202-551-6503	<a href="mailto:gibbsp@sec.gov">gibbsp@sec.gov</a>
Disability Program Manager (SEPM) <sup>1</sup>	Pamela Gibbs	Director, Office of Minority and Women Inclusion	0340	SO	202-551-6503	<a href="mailto:gibbsp@sec.gov">gibbsp@sec.gov</a>
Special Placement Program Coordinator (Individuals with Disabilities)	Kai Petty	Team Lead, Office of Human Resources	0201	SK-14	202-551-6344	<a href="mailto:pettyka@sec.gov">pettyka@sec.gov</a>
Reasonable Accommodation Program Manager	Dia Gonsalves	Branch Chief, Office of Human Resources	0343	SK-15	202-551-3166	<a href="mailto:gonsalvesd@sec.gov">gonsalvesd@sec.gov</a>
Anti-Harassment Program Manager <sup>2</sup>	Ilene Citrin	Attorney, Office of Equal Employment Opportunity	0905	SK-14	202-551-6025	<a href="mailto:citrini@sec.gov">citrini@sec.gov</a>
ADR Program Manager	M. Stacey Bach	Deputy Director, Office of Equal Employment Opportunity	0905	SK-17	202-551-8599	<a href="mailto:bachm@sec.gov">bachm@sec.gov</a>
Compliance Manager	M. Stacey Bach	Deputy Director, Office of Equal Employment Opportunity	0905	SK-17	202-551-8599	<a href="mailto:bachm@sec.gov">bachm@sec.gov</a>
Principal MD-715 Preparer	Martha E. Hennen	Personnel Psychologist, Office of Equal Employment Opportunity	0343	SK-16	202-551-8885	<a href="mailto:hennenm@sec.gov">hennenm@sec.gov</a>

<sup>1</sup> Special Emphasis Program Management (SEPM) for persons with disabilities is coordinated across the Office of Human Resources (OHR) and the Office of Minority and Women Inclusion (OMWI). The Director of OMWI is listed here to reflect responsibility for the Employee Affinity Group supporting SEC employees with disabilities. Other relevant program management is described in Part J, *infra*.

<sup>2</sup> The harassment prevention program is a management responsibility and many SEC offices coordinate responsibilities. The OEEO subject matter expert is identified here due to her leadership in the SEC's proactive harassment prevention dialogues and for providing educational outreach to managers and employees on preventing harassment in the workplace.

## Part D: Subordinate Components and Documents

### Section I: List of Subordinate Components Covered in this Report

Please identify the subordinate components within the Agency (e.g., bureaus, regions, etc.).

If the Agency does not have any subordinate components, please check the box.

### Section II: Mandatory and Optional Documents for this Report

In the table below, the Agency must submit these documents with its MD-715 report.

Did the Agency submit the following mandatory documents?	Please respond Yes or No	Comments
Organizational Chart	Yes	
EEO Policy Statement	Yes	
Strategic Plan	Yes	
Anti-Harassment Policy and Procedures	Yes	
Reasonable Accommodation Procedures	Yes	
Personal Assistance Services Procedures	Yes	
Alternative Dispute Resolution Procedures	Yes	

In the table below, the Agency may decide whether to submit these documents with its MD-715 report.

Did the Agency submit the following optional documents?	Please respond Yes or No	Comments
Federal Equal Opportunity Recruitment Program (FEORP) Report	No	
Disabled Veterans Affirmative Action Program (DVAAP) Report	No	
Operational Plan for Increasing Employment of Individuals with Disabilities under Executive Order 13548	No	
Diversity and Inclusion Plan under Executive Order 13583	No	
Diversity Policy Statement	No	
Human Capital Strategic Plan	No	
EEO Strategic Plan	No	
Results from most recent Federal Employee Viewpoint Survey or Annual Employee Survey	No	

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# EXECUTIVE SUMMARY (PART E)

<b>EEOC FORM 715-01 PART E</b>	<b>U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>
U.S. Securities and Exchange Commission	<b>For period covering October 1, 2018 to September 30, 2019</b>

This Equal Employment Opportunity (EEO) Program Status Report for Fiscal Year (FY) 2019 is prepared and submitted under the Equal Employment Opportunity Commission’s (EEOC) Management Directive 715 (MD-715) and accompanying instructions and guidance. According to the EEOC, “[t]he overriding objective of [MD-715] is to ensure that all employees and applicants for employment enjoy equality of opportunity in the federal workplace regardless of race, sex, national origin, color, religion, disability or reprisal for engaging in prior protected activity.”<sup>3</sup> Consistent with this objective, MD-715 requires federal agencies to conduct a self-assessment on at least an annual basis to evaluate the effectiveness of their overall Equal Employment Opportunity (EEO) program, using EEOC-prescribed compliance indicators and measures. MD- 715 also requires agencies to identify any institutional, structural, attitudinal, and/or physical barriers that may operate to exclude certain groups, and to develop strategic plans to eliminate identified barriers.

This report highlights accomplishments by the U.S. Securities and Exchange Commission (SEC, Commission, or Agency) in advancing EEO. This report also identifies additional actions the SEC began in FY 2019 and will continue to take, to enhance its overall EEO Program.

## MISSION OF THE U.S. SECURITIES AND EXCHANGE COMMISSION

The SEC’s mission is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

The SEC oversees approximately \$93 trillion in securities trading annually on U.S. equity markets and the activities of over 28,000 registered market participants, including investment advisers, mutual funds, exchange-traded funds, broker-dealers, municipal advisors, and transfer agents. The Agency also oversees 24 national securities exchanges, nine credit rating agencies, seven active registered clearing agencies, as well as the Public Company Accounting Oversight Board (PCAOB), the Financial Industry Regulatory Authority (FINRA), the Municipal Securities Rulemaking Board (MSRB), the Securities Investor Protection Corporation (SIPC), and the Financial Accounting Standards Board (FASB).

<sup>3</sup> MD-715, at Intro. page 5. Protected EEO bases under Federal law also include age (40 and older), genetic information, and parental status among others under varying statutes and Executive Orders.

The SEC is an independent federal agency established pursuant to the Securities Exchange Act of 1934. The SEC’s core values are integrity, excellence, accountability, teamwork, fairness, and effectiveness. The SEC consists of five presidentially-appointed Commissioners, with staggered five-year terms. One of them is designated by the President as Chairman of the Commission who is responsible for the executive and administrative functions of the Commission. On May 4, 2017, Jay Clayton was sworn in as the 32nd Chairman of the SEC.

The SEC is organized into five divisions (Corporation Finance, Enforcement, Economic and Risk Analysis, Investment Management, and Trading and Markets) and 25 offices. The SEC’s Headquarters is located in Washington, D.C. (Headquarters or Home Office). The Agency also has 11 Regional Offices located throughout the country. As of September 30, 2019, the SEC had a total workforce of 4,365 employees, including 4,266 permanent employees and 99 temporary employees.<sup>4</sup> See Table A1.

### SEC’s EEO Program

The accomplishments and developments highlighted in this report stem from collaboration among various offices responsible for aspects of the Agency’s EEO Program. Three SEC Offices—the Office of Equal Employment Opportunity (OEEO), the Office of Minority and Women Inclusion (OMWI), and the Office of Human Resources (OHR)—have specific and interrelated responsibilities to foster equal employment opportunity and to focus on equal opportunity and diversity-related efforts in the Agency’s workforce.

**Table 1: Mission, Vision, and Values of SEC’s Office of Equal Employment Opportunity**

SEC’s Office of Equal Employment Opportunity	
Mission	To create and apply best practices to achieve equal employment opportunity (EEO) in the workplace and to support compliance with anti-discrimination laws.
Vision	The SEC serves as an employer-of-choice that fosters an inclusive workplace dedicated to the SEC’s mission.
How OEEO works	With independence, integrity, collaboration, and a commitment to excellence.

OEEO safeguards employment-related civil rights at the SEC. It champions SEC efforts to foster a fair and equitable workplace—one where employment decisions are based on individual merit, and where everyone has an equal chance to succeed as far as their talents will take them. It works to integrate EEO into the SEC’s everyday business by:

- Contributing subject-matter expertise to aid the SEC with realistic strategic thinking, problem-solving, and policy development toward achieving a model workplace;
- Analyzing data to identify concrete ways of removing potential impediments to equity in employment;

<sup>4</sup> Data for this report was pulled on November 12, 2019, from DataMart, the SEC’s Human Resource Information System (HRIS), for pay period 21 of 2019.

- Proactively engaging with internal and external stakeholders, such as SEC leadership, OMWI, OHR, the National Employees' Treasury Union (NTEU), the Diversity Council, and employee affinity groups;
- Educating the workforce about EEO laws and about behaviors that could be perceived as unwelcome at work;
- De-escalating workplace conflicts through robust harassment prevention and alternative dispute resolution programs;
- Providing a neutral forum (outside the Office of the General Counsel (OGC), NTEU, or OHR) for addressing EEO concerns; and
- Independently investigating and assessing EEO concerns and remedying violations of employment discrimination laws.

Through these efforts, OEEEO helps to engage, energize, and empower employees to contribute fully to the SEC's mission.

OEEEO's Director is a Senior Officer (the equivalent of a member of the Senior Executive Service), who, consistent with 29 C.F.R. Part 1614 (hereinafter, Part 1614),<sup>5</sup> reports to the SEC Chairman. The OEEEO Director leads a neutral office comprised of a small team of diverse professionals. This team has significant expertise in legal and social science analysis, proactive prevention, conflict management, investigative techniques, federal sector EEO rules and processes, and program management.

To comply with Part 1614 and MD-715 requirements, OEEEO remains impartial and safeguards its organizational autonomy. This helps to prevent institutional conflicts of interest that otherwise could arise, and to instill confidence in the integrity of the Agency's EEO Program. For example, OEEEO's Director exercises authority to carry out Part 1614 functions without interference from any office, including the Office of the General Counsel. OGC, which defends the SEC in EEO matters, is firewalled from activities within OEEEO; OGC participates during adversarial portions of the EEO process (hearings and appeals), during settlement negotiations (to include discussions occurring as a result of a request for mediation made through OEEEO's Alternative Dispute Resolution (ADR) Program), and/or to provide appropriate legal advice or assistance when a manager or supervisor requests it during the course of an EEO investigation (consistent with EEOC guidance and recent case law setting forth parameters for Agency counsel involvement and professional responsibility rules governing attorney conduct). Other SEC offices (such as OHR) are similarly firewalled and kept separate as necessary and appropriate to avoid conflicting or competing interests.

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<sup>5</sup> Part 1614 are the EEOC regulations governing federal sector EEO Programs.

Legal resources within OEEEO make this possible.<sup>6</sup> OEEEO staff conduct legal-sufficiency reviews of EEO matters, which include, for example, preparing and issuing “Accept/Dismiss” determinations addressing jurisdiction over, and scope of, claims set forth in formal complaints; conducting an impartial and appropriate investigation of accepted formal complaints; conducting substantive reviews of the Reports of Investigations (ROIs) to ensure compliance with laws and regulations; and drafting of Final Agency Decisions (FADs) and Final Agency Orders (FAOs) (as required by 29 C.F.R. § 1614.110).

At the same time, while OEEEO maintains the primary responsibility for many aspects of the Agency’s overall EEO Program, it collaborates as appropriate with the OHR and OMWI<sup>7</sup> as well as the Office of Inspector General (OIG) and OGC to ensure fairness and equality under the law for all employees and applicants for employment. For instance, under the Dodd-Frank Wall Street Reform and Consumer Protection Act, the OMWI Director (who also reports directly to the SEC Chairman) must develop certain standards for EEO and diversity at the SEC,<sup>8</sup> which OHR incorporates into its human resources management strategy and operations. OEEEO, OMWI, and OHR monitor the impacts and results of these standards, cultivate successful policies and practices to reinforce them, and develop enhancement strategies to strengthen all EEO and diversity and inclusion (D&I) programs agency-wide. In addition, OEEEO seeks to coordinate on a general basis with OMWI and OHR on (among other topics) the diversity recruitment and/or disability accommodation programs they administer. OEEEO collaborates as appropriate with OGC and OIG, which trains and advises managers and supervisors on merit system principles, prohibited personnel practices, and whistleblower protections under applicable civil services laws. Finally, OEEEO coordinates extensively with management, OHR, OGC, OIG, and other offices, as needed, to implement the SEC’s harassment-prevention program under the *Faragher-Ellerth*<sup>9</sup> line of cases.

In addition, OEEEO is available to provide technical assistance to senior leadership, management, the Diversity Council, employee affinity groups, and NTEU to help carry out leadership priorities and implement the EEO and D&I aspects of the SEC’s *Strategic Plan FY 2018–2022*, the *Diversity and Inclusion Strategic Plan FY 2020–2022*, OHR’s *Human Capital Strategic Plan FY 2020–2022*, and *OHR Recruitment Strategy 2020–2022*. The collective work of these offices provides the strategic framework for driving the SEC’s approach to EEO, affirmative employment, and D&I.

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<sup>6</sup> SEC has adopted the EEOC’s recommended best practice to have sufficient internal legal resources in the EEO office. See MD-110, Chapter 1, Section IV.D., available at <https://www.eeoc.gov/federal-sector/management-directive/management-directive-110>.

<sup>7</sup> OMWI was established pursuant to Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 (Dodd-Frank Act).

<sup>8</sup> 12 U.S.C. § 5452(b)(2)(A)(f). These standards were promulgated in September 2016 and are available at Attachment 7. Under the Dodd-Frank Act, OMWI’s responsibilities do not include “enforcement of statutes, regulations, or executive orders pertaining to civil rights, except [that] each [OMWI] Director shall coordinate with the agency administrator, or the designee of the agency administrator, regarding the design and implementation of any remedies resulting from violations of such statutes, regulations, or executive orders.” 12 U.S.C. § 5452(a)(3). Additional information about the SEC and its diversity efforts can be found at <https://www.sec.gov/page/omwi-section-landing>.

<sup>9</sup> An employer should promptly and thoroughly investigate complaints of perceived discrimination, harassment, or retaliation. An employer may avoid liability for harassment that does not involve an adverse employment action if the employer can demonstrate: (1) it took reasonable steps to prevent and promptly correct harassment; and (2) the employee unreasonably failed to take advantage of the employer’s preventive or corrective measures. This principle is referred to as the “*Faragher-Ellerth*” defense, which is a reference to two 1998 U.S. Supreme Court decisions in which the Court established the principle.

## COMMISSION'S ANNUAL SELF-ASSESSMENT AGAINST MD-715 ESSENTIAL ELEMENTS

OEE0, in partnership with and through necessary stakeholders, adheres to and promotes the Six Elements identified by EEOC and MD-715 as essential for a Model EEO Program under Title VII of the Civil Rights Act of 1964 (Title VII), *as amended*, 42 U.S.C. § 2000e-16, and Section 501 of the Rehabilitation Act of 1973 (Rehabilitation Act), *as amended*, 29 U.S.C. § 791 (as well as the Americans with Disabilities Act Amendments Act of 2008 (Pub. L. 110-325)). During FY 2019, OEE0 again performed an annual EEO Program self-assessment. This Executive Summary recaps the SEC's FY 2019 self-assessment findings and action items, organized by each Essential Element and related compliance indicators.

### Essential Element A: Demonstrated Commitment from Commission Leadership

Management Directive 715 requires Agency heads and other senior management officials to demonstrate a firm commitment to equality of opportunity for employees and applicants for employment. During FY 2019, SEC leadership again demonstrated commitment to ensuring that the SEC's talented and diverse staff have equal employment opportunities and are treated fairly and with respect.

The SEC's *Strategic Plan FY 2018 – FY 2022*,<sup>10</sup> issued in March 2019, underscores this approach. The five-year Strategic Plan contains three goals. SEC Goal 3 is to “[e]levate the SEC’s performance by enhancing our analytical capabilities and human capital development.” SEC Goal 3 will be accomplished through the following strategic initiative:

3.1: Focus on the SEC’s workforce to increase our capabilities, leverage our shared commitment to investors, and promote diversity, inclusion, and equality of opportunity among the agency’s staff.

As explained in the Strategic Plan, the SEC recognizes its success is dependent on an effective, highly-skilled workforce. Accordingly, the Commission focuses on recruiting, retaining, and training staff with the right mix of skills and expertise. It also promotes diversity, awareness, inclusion, and mutual respect within the workforce so that every staff member has an equal opportunity to contribute and succeed.

The SEC also finalized its first *Diversity and Inclusion Strategic Plan, FY 2020–2022*, further exemplifying leadership commitment. To support the SEC’s commitment to its workforce, the SEC also developed a two-year (FY 2020 – FY 2022) *Human Capital Strategic Plan* with input from OHR, OEE0, and Division and Office Senior Leadership. The *Human Capital Strategic Plan* and related *Recruitment Strategy* emphasize attracting diverse talented staff to the Agency, developing leaders who manage effectively and engage staff, increasing professional growth opportunities and development for staff. OEE0’s on-going planning aligns with and supports these overall strategic goals and initiatives.

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<sup>10</sup> The plan is available at <https://www.sec.gov/strategic-plan>.

*Compliance Indicator A.1—The Agency issues an effective, up-to-date EEO policy statement.*

The SEC's commitment to equal employment opportunity is highlighted in its Equal Employment Opportunity Policy and Policy on Preventing Harassment (*see Attachments 2 and 4*). The SEC maintains an EEO Policy, which advises employees of the SEC's commitment to complying with EEO laws and provides information on how to participate in the EEO complaint process. In addition, the SEC's Policy on Preventing Harassment (PPH) expresses the SEC's commitment to a harassment-free work environment. The PPH was designed to identify and stop behavior that might be offensive on a legally protected basis before it escalates. These documents affirm that the SEC Chairman, Commissioners, managers, and first-line supervisors will enforce EEO principles. These policies contain all content specified in MD-715 instructions and guidance, including:

- A commitment to EEO for all employees and applicants for employment, regardless of, *inter alia*, their race, color, religion, sex (including pregnancy, sexual orientation, transgender status, and gender identity), national origin, age, disability, genetic information, and prior protected EEO-related activity.
- A commitment that all employees and applicants will have the freedom to compete on a fair and level playing field.
- A guarantee that EEO encompasses all personnel/employment programs, management practices, and decisions, including, but not limited to, recruitment/hiring, merit promotion, transfer, reassignments, training and career development, benefits, and separation.
- A guarantee that workplace harassment will not be tolerated, and that the Agency will correct the harassing conduct before it becomes severe or pervasive.
- A guarantee that reprisal against anyone who engaged in protected activity will not be tolerated, and that the Agency supports the rights of all employees to exercise their rights under the civil rights statutes.

On February 22, 2019, the SEC Chairman issued these statements via email directly to all employees with a message emphasizing the strategic importance of EEO compliance:

At the SEC, we hold ourselves to the highest standards of professional conduct. Our success in achieving our mission depends on each of us doing our work in accordance with the SEC's core values of integrity, excellence, accountability, teamwork, fairness, and effectiveness. Embracing these values brings us together as a team to focus us on the strategic initiatives that drive our mission. This also forms a critical foundation that helps create and sustain a talented, diverse, and engaged workforce.

In support of Goal 3.1 of our new Strategic Plan, we are re-issuing two policies—the Equal Employment Opportunity Policy and Policy on Preventing Harassment—that communicate our shared commitment to a work environment that is respectful, inclusive, and allows each of you to perform in support of the SEC's mission. I encourage you to take the time to read each policy.

There is no place at the SEC for discrimination, harassment, or retaliation in violation of federal laws or SEC policies. Such conduct undermines our core values and is detrimental to the Agency's ability to execute its mission and strategic priorities and will not be tolerated.

If you believe that either of these policies has been violated, or ever have questions about the right thing to do, I ask you to speak up—I encourage you to talk with your manager, any member of the SEC's management team, or the SEC's Office of Equal Employment Opportunity at 202-551-6040 or (880) 877-8339 for TTY users.

Thank you for being a part of the SEC and for upholding our values.

These policy documents are readily available on OEEO's intranet page. Both documents also have been provided throughout the year directly to new employees on or around their first day of work during employee orientation, and to all new supervisors and managers as they are promoted or join the SEC. Large posters with this information have been placed near the OEEO suite and in a display stand in the lobby of SEC Headquarters, in other common areas and in regional offices. OEEO is assessing its communication strategy in light of EEOC's Report, *Preserving Access to the Legal System: A Practical Guide to Providing Employees with Adequate Information About Their Rights Under Federal Equal Employment Opportunity (EEO) Laws and Regulations* (September 2, 2014),<sup>11</sup> and will work toward incorporating additional means to relay information in upcoming fiscal years.

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<sup>11</sup> Available at: <https://www.eeoc.gov/federal-sector/preserving-access-legal-system-practical-guide-providing-employees-adequate>, accessed on July 27, 2020.

*Compliance Indicator A.2—The Agency has communicated EEO policies and procedures to all employees.*

In addition to the publication of the policies noted above, the SEC has promulgated various other regulations and procedures to advance its EEO Program, all of which are readily accessible on the SEC’s intranet to all employees. The table below contains a list of policies communicating EEO-related content.

**Table 2: SEC EEO and Affirmative Employment-Related Regulations and Procedures**

<b>SEC Regulations and Procedures</b>
Acceptable Use of SEC Information Technology Resources (SECR 24-4.3)
Administrative Grievance Procedure (SECR 6-25)
Affirmative Action Plan for Individuals with Disabilities and Targeted Disabilities
Delegated Examining (SECR 6-6)
Diversity Partnerships (SECR 28-2)
Domestic Violence, Sexual Assault, and Stalking in the Workplace (SECR 6-48)
Domestic Partner Benefits Program (SECR 6-75)
Employee Affinity Groups and Special Observances (SECR 28-3)
Equal Employment Opportunity Dispute Resolution Policy Statement
Equal Employment Opportunity Policy
Information and Communication Technology (ICT) Section 508/Accessibility Program (SECR 24-10)
Merit Promotion Program (SECR 6-23, SECR 6-24)
Religious Compensatory Time (for bargaining unit employees) (SECR 6-22)
Policy on Preventing Harassment & Procedures to Implement the SEC’s Policy on Preventing Harassment (SECOP 27-1)
Standards for Equal Employment Opportunity, Workforce Diversity, and Workplace Inclusion (OMWI – September 8, 2016)

The SEC publishes information about the EEO complaint process and the roles and responsibilities of OEEO. Information is placed in high-traffic areas in SEC buildings and offices to provide employees and applicants for employment with notice of their EEO rights and to highlight the 45-calendar day time limit for contacting an EEO Counselor or OEEO if they believe they have been discriminated against on an EEO basis and wish to enter the administrative complaint process. The OEEO intranet page contains contact and location information for OEEO, ensuring that employees can easily seek OEEO’s assistance—including EEO counseling—in person or virtually. OEEO began a review of content on its intranet page in FY 2019 and will continue to expand information available in

upcoming fiscal years. The SEC also provides OEEO contact information to members of the public on [SEC.gov](https://www.sec.gov) as well as general information about EEO protections. In FY 2019, the Agency provided new employees with copies of important policies and procedures (including the EEO Policy, Policy on Preventing Harassment, and EEO Dispute Resolution Policy Statement) during orientation and relays additional information about the federal-sector EEO complaint process through a taped presentation. All employees also must complete a web-based No FEAR Act<sup>12</sup> training upon hire and every two years thereafter, which discusses rights and responsibilities, the federal sector complaint process, ADR, harassment prevention and reporting, and reasonable accommodation. OHR shares information about the SEC's accommodation program for disability, including providing access to relevant policies and procedures and how to make requests, at new employee orientation. OEEO has also deployed an in-person, scenario-based harassment prevention training designed to raise awareness of the types of words and conduct that could offend others regardless of intent; OEEO trained over 1,000 employees in FY 2019.

In mid-FY 2019, OEEO launched a new initiative to conduct in-person outreach to newly hired or promoted supervisors and managers within their first few weeks in the position—and prior to more formal training opportunities—to give them immediate information and tools to comply with EEO laws and best practices. In FY 2019, OEEO staff met with 63 individuals. As part of this outreach, OEEO shares written materials and a briefing that provide practical guidance on avoiding common EEO pitfalls, including access to additional electronic resources and policies that may be useful. This briefing provides a foundation for subsequent, manager-specific training on ADR, merit principles and prohibited personnel practices, and managing in compliance with EEO laws. OEEO also creates, conducts, collaborates in presenting, and/or sponsors other trainings on EEO-related topics, as well, including, for example, harassment prevention dialogues and on-demand learning, retaliation awareness under various legal schemes, ADR in the EEO process, contractors and EEO issues, live and on-demand new supervisor training regarding EEO, reasonable accommodation, and whistleblowing, and on-demand training related to transgender rights in the workplace.

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<sup>12</sup> The Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002.

Further, the No FEAR Act requires each federal agency to develop a plan to train all employees (including managers and supervisors) about the rights and remedies available under the Antidiscrimination Laws and Whistleblower Protection Laws applicable to them. Office of Personnel Management (OPM) regulations require agencies to include No FEAR Act training plans in the annual No FEAR Act Report.<sup>13</sup> The SEC obtained certification from the U.S. Office of Special Counsel (OSC) through its 5 U.S.C. § 2302(c) program<sup>14</sup> in December 2016; this certification expired December 2019, and OSC recertified the SEC in March 2020. As part of these efforts, the Agency accomplished the following in FY 2019:

- OSC provided training on prohibited personnel practices and merit system principles to 730 SEC managers and supervisors in person and to another 240 managers online.
- OGC routinely advises new employees of whistleblower rights during orientation.
- OGC and the Chairman’s Office provided notification to all employees of the right to be free from reprisal via an Agency-wide email.
- SEC launched a new intranet page providing information to employees about OSC, Prohibited Personnel Practices (PPP), and whistleblower rights.
- SEC updated its website to link directly to OSC’s website enabling individuals to learn about their rights and get instructions on where and how to file PPP and whistleblower-related claims.
- SEC placed updated posters from OSC throughout headquarters and regional office space.
- OGC offered training in headquarters and in each regional office addressing how managers should address retaliation, harassment, and discrimination.
- OEEO coordinated a training on retaliation with stakeholders in OGC, OHR, OIG, and the Office of Support Operations (OSO).

Collectively, these efforts apprise employees of SEC’s commitment to EEO across all its programs, policies, and activities.

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<sup>13</sup> 5 C.F.R. § 724.302(a)(9).

<sup>14</sup> Pursuant to 5 U.S.C. § 2302(c), agency heads must ensure, in consultation with the Special Counsel and the Inspector General of the agency, that employees of the agency are informed of the rights and remedies available to them under the Civil Service Reform Act (CSRA), the Whistleblower Protection Act (WPA), the Whistleblower Protection Enhancement Act (WPEA), and related laws. OSC’s section 2302(c) Certification Program allows federal agencies to meet these statutory obligations.

*Compliance Indicator A.3—The Agency assesses and ensures EEO principles are part of its culture.*

Senior SEC leaders have made a sustained and visible commitment to fostering a positive organizational culture and to integrating EEO compliance, diversity, and inclusion into SEC actions and decisions. The Chairman, Commissioners, and Senior Officers actively sponsor one or more of the nine Employee Affinity Groups (EAG) enumerated in the following table.

**Table 3: Employee Affinity Groups Active at SEC in FY 2019**

<b>Employee Affinity Groups Active in FY 2019</b>
African American Council
American Indian Heritage Committee
Asian American and Pacific Islander Committee
Caribbean American Heritage Committee
Disability Interests Advisory Committee
Hispanic and Latino Opportunity, Leadership, and Advocacy Committee
Lesbian, Gay, Bisexual, and Transgender (LGBT) Committee
Veterans Committee
Women's Committee

EAGs have been instrumental in helping to cultivate a workplace culture that attracts diverse talent and encourages employee engagement and retention. EAGs foster a supportive, inclusive, and fair work environment through their programs and activities, including programs to commemorate special observances. OMWI provides guidance, resources, and management support to the EAGs, and SEC's senior leadership supports the EAGs and encourages employees to participate in EAG events and activities held throughout the year. Senior leaders spoke at or attended major diversity events this past fiscal year. A list of some events held is included in the following table:

**Table 4: FY 2019 Programs for Special Observances**

<b>Month</b>	<b>Program</b>	<b>Location</b>	<b>Program and Speaker(s)</b>
October 2018	National Disability Employment Awareness Month (NDEAM)	Washington, DC HQ	Guest Speaker: Leslie Long, Vice President for Adult Services for Autism Speaks
November 2018	Veterans Day Commemoration	Washington, DC HQ	Panel Discussion, moderated by Chairman Jay Clayton:  Brigadier General David Blackledge, U.S. Army (retired); Executive Vice President of Melwood Veterans Services LLC;  Ronald Spector, Vietnam veteran; and Professor at George Washington University Elliott School of International Affairs
November 2018	Native American Heritage Month	Washington, DC HQ	Guest Speaker: V Heather Sibbison, Native American Law and Policy Practitioner

Month	Program	Location	Program and Speaker(s)
February 2019	African American History Month	Multiple Locations; HQ and Regional Offices	<p>Guest Speaker: Mark C Alexander, Dean and Professor of Law at Villanova University Charles Widger School of Law (Philadelphia)</p> <p>Panel Program: <i>Black Migration and Urban Realities</i> with Guest Speakers:</p> <p>Christy Garrison, Instructor at Atlanta Metropolitan State College;</p> <p>Deryl Bailey, Professor at University of Georgia, College of Education; and</p> <p>Samuel T Livingston, Associate Professor at Morehouse College (Atlanta)</p> <p>Guest Speaker: E Patrick Johnson, Professor at Northwestern University (Chicago)</p> <p>Guest Speaker and screening of documentary "<i>The African Americans – Many Rivers to Cross</i>": Dr. Henry Louis Gates, Jr., Harvard Scholar and Emmy Award-winning Filmmaker (HQ)</p> <p>Guest Speaker: Robert Fields, President and Executive Director at Weeksville Heritage Center (New York)</p>
March 2019	Women's History Month	Washington, DC HQ	Coffee Networking Event featuring Commissioner Hester Peirce
May 2019	Asian American Pacific Islander Month	Multiple locations; Regional Offices	<p>Guest Speaker: Joon H. Kim, Partner at Cleary, Gottlieb, Steen &amp; Hamilton LLP (New York)</p> <p>Guest Speaker: Nelson S T Thayer, Jr., Assistant U.S. Attorney for the Eastern District of Pennsylvania (Philadelphia)</p>
June 2019	Caribbean American Heritage Month	Multiple Locations; HQ and Regional Offices	<p>Guest Speaker: Venroy July, Partner at Miles &amp; Stockbridge PC (HQ)</p> <p>Guest Speakers: Christopher Chaplin, Honorary Consul for the Jamaican Consulate in Pennsylvania; and</p> <p>Michel Francois, Electrophysics/Electrical/Biosensor Engineer (Philadelphia)</p>
June 2019	Lesbian, Gay, Bisexual and Transgender (LGBT) Pride Month	Multiple Locations; HQ and New York Regional Office	<p>TED Talk Presentation and Discussion: "<i>Love No Matter What</i>" by Andrew Solomon (HQ)</p> <p>Guest Speaker: Stacey Friedman, General Counsel at JPMorgan Chase (New York)</p>
September 15–October 15, 2019	Hispanic Heritage Month	Multiple Locations; HQ and New York Regional Office	<p>Guest Speaker: The Honorable Dora L Irizarry, Chief U.S. District Judge for the Eastern District of New York (New York)</p> <p>Panel Discussion moderated by Chairman Jay Clayton, featuring former SEC Commissioners Troy Paredes and Roel Campos (HQ)</p>

Month	Program	Location	Program and Speaker(s)
October 2019	LGBT History Month Event	Philadelphia Regional Office	Guest Speaker and talk entitled, "Does Title VII of the Civil Rights Act of 1964 Prohibit Employment Discrimination Based on Sexual Orientation or Gender Identity?": Leonore F Carpenter, Associate Professor of Law at Temple University, Beasley School of Law (Philadelphia)

The SEC has an active Diversity Council comprised of members of the EAGs, management, NTEU, and representatives from Headquarters and Regional Offices. The SEC's Diversity Council is engaged in working collaboratively on a range of issues to foster diversity and inclusion at the Commission. In FY 2019, the SEC Chairman began serving as chair for the Diversity Council, underscoring his support of equity, diversity, and inclusion at the Agency.

In FY 2019, the SEC hosted an Agency-wide Human Capital and Diversity Town Hall led by the Chairman with involvement from the SEC's CHCO, OMWI, and OEEO Directors. In addition, the Chairman presents the *Isaac C. Hunt Award for Diversity and Inclusion* each year at a public ceremony to member(s) of the SEC staff to show the Commission's special appreciation for employees who contribute significantly to the advancement of diversity efforts at the SEC or in their communities.

Significantly, in FY 2019, the SEC's Chairman actively supported the launch of a cross-Agency effort, led by the Department of Commerce's Office of Civil Rights, supporting First Generation Professionals (FGP) in federal service. For the summit launching the FGP initiative, held on September 12, 2019, the Chairman arranged for and hosted a fireside chat with the event's keynote speaker, Jovita Carranza, 26th Administrator of the Small Business Administration. The FGP initiative has been so successful that OPM established it as a new government-wide employee resource group under the auspices of its Office of Diversity and Inclusion. OEEO, along with SEC's own FGP members, continues its active support for and participation in FGP programming.

#### *SEC's Federal Employee Viewpoint Survey FY 2019 Results*

The Partnership for Public Service annually publishes rankings for the Best Places to Work in the Federal Government, which are based on the Federal Employee Viewpoint Survey (FEVS) administered by OPM. FEVS measures employee engagement and satisfaction, and provides insight on employee perceptions about fairness and equality broken down by certain EEO demographic groups. In FY 2019, the SEC's survey response rate was 75 percent. This compares favorably to the overall government-wide response rate of 43 percent.<sup>15</sup> The SEC ranked fifth among 25 mid-size agencies in 2019, dropping two places from the previous year. The Agency's overall FEVS average score, measured as the percentage of positive responses or percent positive, decreased slightly from 74 percent positive in 2018 to 72 percent positive in 2019.

<sup>15</sup> <https://www.opm.gov/fevs/reports/> (Jan. 2, 2020).

The scores on three indices related to engagement and satisfaction also decreased compared to prior year data: Global Satisfaction was 75 percent positive (down 7 percentage points), New Inclusion Quotient Index (the New IQ) was 69 percent positive (down 2 percentage points), and Employee Engagement was 76 percent positive (down 2 percentage points).

The New IQ in FEVS empirically measures enabling conditions that lead to an inclusive workplace. The New IQ is made up of 20 FEVS questions grouped into the following “5 Habits of Inclusion”:

*Fair:* Are all employees treated equitably?

*Open:* Does management support diversity in all ways?

*Cooperative:* Does management encourage communication and collaboration?

*Supportive:* Do supervisors value employees?

*Empowering:* Do employees have the resources and support needed to excel?

The New IQ score reflects the percentage of positive responses to the questions corresponding to each “habit” of inclusion. The SEC’s overall New IQ for 2019 was 69 percent positive, which was 2 percentage points lower than the Agency’s overall New IQ for 2018, but still 9 percentage points higher than 2015. The SEC’s scores on each Habit of Inclusion decreased: Fair (down 4 percentage points), Open (down 2 percentage points), Cooperative (down 2 percentage points), Supportive (down 3 percentage points), and Empowering (down 4 percentage points). The decrease seen in the New IQ was consistent with the decreases in the percent of positive scores seen in items across the FEVS in 2019.

In addition to the New IQ, the SEC tracks the percentage of positive responses (i.e., percent positive) to three diversity related FEVS questions, as shown in the table below. Although the percent positive scores on each question decreased by one percentage point between 2018 and 2019, all three scores have increased since 2015. These results suggest that support for the Agency’s D&I efforts continues.

**Table 5: SEC Scores on Select Diversity Related FEVS Questions**

FEVS Question	2015	2016	2017	2018	2019
Q34 – Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	62%	65%	67%	67%	66%
Q45 – My supervisor is committed to a workforce representative of all segments of society.	73%	76%	80%	82%	81%
Q55 – Supervisors work well with employees of different backgrounds.	64%	68%	77%	78%	77%

*Source: OPM’s Federal Employee Viewpoint Survey 2019, retrieved on February 10, 2020.*

The SEC also publishes internally the FEVS results by demographic group, in a Diversity Dashboard.

One explanation for the observed declines in 2019 FEVS scores can be offered. FEVS data collection opened on May 22, 2019, for the SEC. This timing closely followed changes to performance-based pay and related merit increases announced to all staff in April. Compared to prior years and to

pay raises received at other federal agencies, performance-based pay increases at the SEC were smaller in 2019; some of the decline in FEVS results overall and for specific employee groups may be attributable to the timing of these events and reaction to FY 2019 compensation. Across all 71 core FEVS items, the item with the largest drop in 2019 was item 71 (satisfaction with pay), which dropped 14 percentage points. The suggestion that compensation was the main driver of decreased scores in 2019 is further strengthened by noting that most items that dealt with compensation and rewards had decreases larger than 5% points. Out of the 11 items with decreases of 5% points or larger, seven (64%, items 24, 25, 31, 32, 33, 65, and 71) dealt with compensation/rewards.

Despite the decreases, the SEC scores remain higher than government-wide averages and the averages for mid-size agencies on all three indices. These data suggest that the SEC remains an employer-of-choice within the federal government. Opportunities for improving employee satisfaction and engagement exist, and SEC managers, staff, and Union representatives—along with OMWI, OHR, and OEEO—are working to make those improvements.

OEEO and agency partners continue to monitor FEVS and action plans.

#### Essential Element B:

#### Integration of EEO into the Commission's Strategic Mission

Management Directive 715 recognizes that equality of opportunity is essential to attracting, developing, and retaining the most qualified workforce to support an agency's achievement of its strategic mission. This element requires that the EEO Programs are structured to maintain a workplace that is free from discrimination and support that strategic mission.

*Compliance Indicator B.1—The reporting structure for the EEO Program provides the principal EEO official with appropriate authority and resources to effectively carry out a successful EEO Program.*

During FY 2019, the SEC's reporting structure allowed the OEEO Director (as well as the OMWI Director) to have direct and regular access to the Chairman, Commissioners, and other senior-level management officials. As described above, the OEEO Director reports directly to the Chairman, and the SEC's organizational chart clearly defines this reporting structure. *See Attachment 1.*

This structure allows OEEO to coordinate the Agency's overall EEO Program activities efficiently and effectively and with the autonomy and authority needed to carry out a successful EEO Program. Throughout FY 2019, the OEEO Director met with the Chairman and each Commissioner regularly and also frequently communicated with Senior Leadership, including the OMWI Director, the Chief Operating Officer, the Chief Human Capital Officer (CHCO), and other office leads to provide updates on the EEO Program. On March 25, 2019, the OEEO Director provided the SEC Chairman with the FY 2018 MD-715 report for his review and approval. Further, the OEEO Director is a regular participant in the Operations Steering Committee (OSC), which is a vetting and decision-making body related to major SEC internal operations and policies, and the Diversity Council.

*Compliance Indicator B.2—The EEO Director controls all aspects of the EEO Program.*

The OEEO Director exercises authority to conduct all aspects of the Agency's EEO Program required by 29 C.F.R. Part 1614, MD-715, and MD-110, including the responsibilities assigned to EEO Directors of Executive agencies outlined in the EEOC's regulations at 29 C.F.R. § 1614.102(c). OEEO staff worked to formalize this authority by drafting SEC's first designation of authority from the Chairman to the OEEO Director. OEEO expects the designation to be finalized in 2020.

*Compliance Indicator B.3—The EEO Director and other EEO professional staff are involved in, and consulted on, management/personnel actions.*

In general, the OEEO Director and designated staff participate in major meetings and initiatives regarding workforce changes that might implicate EEO issues or negatively impact any protected EEO group. For example, in FY 2019:

- OEEO contributed its subject matter expertise to the SEC's first Diversity & Inclusion Strategic Plan.
- OEEO led a series of meetings with stakeholders related to female applicants seeking employment with the SEC and the distribution of discretionary cash and time-off awards.
- OEEO identified a need for educational materials related to Disability Etiquette and spearheaded a collaborative effort to create and deploy a resource toolkit.
- OEEO convened stakeholders to discuss the SEC's compliance with Sections 504 and 508 of the Rehabilitation Act and led efforts to create additional procedures related to complaints filed under Sections 504 and 508 and the Architectural Barriers Act.
- OEEO, in collaboration with OHR and OMWI, worked together to create a series of four videos related to transgender issues in the workplace.
- OEEO continued to collaborate with OHR to enhance supervisory and employee training offered by OHR to ensure that EEO concepts are addressed in new employee orientation, LD 307 as well as trainings on the No FEAR Act and harassment prevention. OEEO staff served as trainers in LD 307.
- OEEO encouraged and supported the SEC in seeking re-certification from the Office of Special Counsel for its training and outreach efforts related to Anti-Discrimination and Whistleblowing laws and Prohibited Personnel Practices.
- OEEO contributed EEO expertise on several Administrative Regulations and SEC Operating Procedure reviews including: Schedule A Hiring For Individuals With Disabilities Policy, Excepted Service Hiring Authority (ESHA) Policy, and Alcoholic Beverage Use Policy.
- OEEO provided counsel to OMWI and OHR related to procedures and the designation of a Transition Coordinator to assist persons transitioning gender in the workplace.

As noted above, both the *SEC Strategic Plan* and the *Diversity and Inclusion Strategic Plan* reference EEO and D&I principles, committing the Agency to full compliance with all federal laws, Executive Orders, management directives, and policies related to equality of opportunity and affirmative employment. To achieve these objectives, OEEO's input related to major management decisions affecting the SEC workforce is critical. Accordingly, the OEEO Director will continue to work through OSC regarding personnel, budget, technology, and other issues to provide an EEO perspective proactively and prior to final decisions being made. Further, OEEO will continue to seek partnership from OHR and OMWI in report and policy development and review so that an EEO perspective and OEEO subject matter expertise can be contributed early in the drafting and coordination process.

*Compliance Indicator B.4—The Agency has sufficient budget and staffing to support the success of its EEO Program.*

In FY 2019 (as in previous years), OEEO had a standalone budget. During FY 2019, the SEC allocated funding and qualified staffing to successfully implement the EEO Program. The SEC also authorized OEEO to fill two full-time equivalent (FTE) positions—demonstrating tangible support of the SEC's overall EEO Program.

OEEO is a small team of diverse professionals with significant expertise. The duties and responsibilities of EEO officials are defined in position descriptions, annual performance plans, EEOC guidance, and in related standard operating procedures OEEO has developed. The staff includes:

- The Director (an attorney with extensive labor and employment compliance expertise);
- A Deputy Director (an attorney with extensive labor and employment compliance expertise from multiple sectors);
- An EEO Compliance and Resolutions Branch Manager (a former EEOC Administrative Judge, and attorney with extensive labor and employment compliance expertise);
- Six Attorney Advisors with EEO experience;
- An EEO Specialist;
- A Management and Program Analyst; and
- An Industrial/Organizational Psychologist.

In addition, resources (through three contractors) are available to assist OEEO in identifying and working to eliminate identified barriers to employment for all protected groups. OEEO also has resources available through contract counselors, ADR professionals, and investigators. Consistent with EEOC guidance, personnel assisting with EEO counseling do not work on formal complaint processing.

In FY 2019, all counselors and investigators satisfied the 32 hours of training and/or eight hours of refresher training required by MD-110. Likewise, in FY 2019, OEEO staff received training to maintain and enhance competencies necessary for carrying out the EEO Program. For instance, staff members typically attend either the annual Examining Conflicts in Employment Law (EXCEL) or the Federal Dispute Resolution (FDR) conference. OEEO will work on leveraging additional training opportunities and enhancing skills and cross-training for all staff in future fiscal years.

In coordinating the SEC's overall EEO activities, the OEEO Director also leverages the efforts of staff in other offices with primary responsibility for aspects of the EEO Program not controlled by OEEO. OEEO seeks to collaborate with OMWI on workforce D&I issues, including affirmative employment efforts led by OEEO (e.g., barrier analyses) as well as special emphasis programs. OEEO works with OHR to implement the Agency's affirmative action plan for people with disabilities and targeted disabilities. OEEO consults with OGC to ensure compliance with OEEO and EEOC decisions and orders. OEEO coordinates with OIG and OGC to encourage sufficient workforce training on whistleblower protections and prohibited personnel practices under federal civil service laws.

OEEO also works with management, OHR, OGC, and OIG related to the SEC's anti-harassment policy and program. In June 2019, the SEC issued agency-wide anti-harassment procedures setting forth roles and responsibilities for various stakeholders. Management, in conjunction with OHR and/or OIG, are responsible for conducting investigations related to harassment.

Working together, as appropriate, staff from these (and sometimes other) offices and teams collectively enabled the SEC during FY 2019 to:

- Conduct the annual MD-715 Agency self-assessment to identify possible EEO Program deficiencies;
- Conduct analyses of the workforce;
- Thoroughly, and fairly process EEO complaints, including conducting EEO counseling, overseeing fact-gathering investigations, issuing final Agency decisions assessing whether or not discrimination occurred, and conducting legal-sufficiency reviews;
- Provide supervisors and employees with training on the EEO Program (including on retaliation, harassment, disability accommodations, the EEO complaint process, and EEO-related ADR);
- Maintain accurate data collection and tracking systems for, e.g., EEO and harassment complaints, workforce demographics, and applicant flow data;
- Administer required special emphasis programs (such as the Federal Women's Program, Hispanic Employment Program, and People with Disabilities program);
- Manage the SEC's anti-harassment and reasonable accommodation/personal assistance services (PAS) programs; and
- Ensure timely and complete compliance with EEOC orders.

*Compliance Indicator B.5—The Agency recruits, hires, develops, and retains supervisors and managers who have effective managerial, communications, and interpersonal skills.*

The SEC focuses on recruiting, hiring, developing, and retaining supervisors and managers with the managerial, communication, and interpersonal skills needed to supervise effectively in a diverse workplace. The Commission's strategic plans, described above, emphasize this business imperative. OHR develops recruitment plans to attract and retain Senior Officers based on pre-determined skillsets needed for the role. OHR often leverages LinkedIn to source highly qualified candidates as a part of the recruitment plan.

In addition to substantive EEO training and outreach offered by OEEO described in this report, in FY 2019, OMWI offered various online and live classes, including unconscious bias, and in-person training for supervisors and staff in regional offices. Similarly, the SEC University (SECU) College of Leadership Development (CLD) offerings are designed to promote leadership behaviors that support the Agency's vision to promote respect, honor the dignity of all people, develop others and cultivate the creativity, growth and diversity of thought and experience for leaders at all organizational levels. Information on leadership development by grade levels is below:

#### Senior Officers (SOs)

In FY 2019, SECU delivered leadership seminars to SOs on leadership best practices. Courses included: *Mastering Leadership Conversations*, *Leading through Complexity*, and *Leadership Presence Under Pressure*. Outcomes included ways to:

- Establish rapport and meaningfully connect with key stakeholders; and
- Re-frame difficult conversations to identify and develop options for alternative outcomes while simultaneously maintaining relationships.

Presenters from the Georgetown University's Institute for Transformational Leadership led each SO topic, facilitating in-person trainings at Headquarters and virtually for regional employees.

#### SK-17 Managers

In FY 2019, SECU facilitated its third SK-17 seminar series, *Leading Self: Essential Skills for Effective Leadership*, expanding on content in prior years' popular leadership development seminar series for SK-17 leaders. During these virtual 90-minute seminars, regional and headquarters-based managers developed their team-based leadership capabilities and competencies. In FY 2019, the interactive, three-part series included: *State of Mind*, *Thinking Path and the Five Saboteurs*, and *Stress and Resilience*. Each session was presented with the goal of:

- Understanding communication styles and the impact of personality in the workplace;
- Increasing interpersonal communication effectiveness;

- Recognizing and valuing individual differences, and treating all team members with respect; and
- Fostering trust behaviors and building resilience to maintain high performance that are key leadership skills.

#### SK-15 Supervisors

In FY 2019, the Leadership Development Seminar Series program was expanded to SK-15 level supervisory staff, facilitating content from prior SK-17 offerings, and thereby promoting a baseline level of leadership behaviors Agency-wide. The Effective Group and Team Dynamics series included: *Getting Work Done in Teams*, *Calibrating Communication Styles*, and *Keeping Teams Accountable*. SECU again offered *Thoughtfully Rogue* for SK-15 employees. This training class focused on supporting and increasing innovation and creativity at the first-line supervisor level in the SEC. The goals from SK-15 level programs included helping supervisors:

- Identify the best operating modes to help lead teams to achieve their various outcomes and make team communications clearer and more effective;
- Hold teams members accountable for commitments in a constructive and positive manner to maintain trust and respect; and
- Introduce a variety of practical strategies for addressing issues and difficult conversations in ways that strengthen, rather than weaken, the group or team.

#### All Managers

SECU offerings provide specialized, targeted leadership development for all managerial levels at the SEC, thereby emphasizing the importance of leadership skills for all who formally lead others. All managers have access to *All Things Management (ATM)* and the *askHR* portal on the SEC's intranet, which include a review of merit principles, prohibited personnel practices, the Agency's selection processes and hiring toolkit, information about the CaRE program (non-EEO ADR), and key fairness and inclusion expectations for leaders.

All SEC managers are eligible to receive twelve sessions of private executive coaching. The coaching supports managers as they pause, reflect, and explore new options for their careers and actions. In FY 2019, approximately 10% of managers participated in this executive coaching program. As a supplement to in-class training and coaching, the SECU published its Winter Reading list, available to all SEC staff. Each of the books promotes the baseline leadership culture of inclusivity and engagement and best practices for leading self and others that the SEC is working to maintain. The FY 2019 book list was available online for free. The book list included: *Your Brain at Work: Strategies for Overcoming Distraction, Regaining Focus, and Working Smarter All Day Long* by David Rock, *Immunity to Change: How to Overcome it and Unlock the Potential in Yourself and Your Organization* by Robert Kegan, and *Leadership Agility: Five Levels of Mastery for Anticipating and Initiating Change* by William B. Joiner and Stephen A. Joseph.

The SEC also has required supervisory training as set forth below:

- **Fundamentals of Human Resource Management (LD 307):** SECU facilitated multiple offerings of the *Fundamentals of Human Resource Management* course during FY 2019, which was offered in-person and virtually. LD 307 is required for all SEC new managers. This course covers a broad range of human capital-related topics to educate SEC managers on the Agency’s HR policies, statutory, regulatory, and procedural requirements, and on federal sector best practices. Topics including the SEC’s policies on the prevention of workplace violence, providing accommodations, and EEO and whistleblower protections are extensively covered. During 2019, LD 307 was updated to a blended learning format. Participants complete required eLearning<sup>16</sup> that prepares them to participate in the in-person classroom session. The EEO training module provides fact-based scenarios and video content for discussion and in-depth teaching on the SEC’s EEO complaint process and substantive EEO laws. The training also covers the Merit Principles and Prohibited Personnel Practices as foundational to federal employment; cards containing this information are provided to all participants in required supervisory training. Subject matter experts facilitate the classroom portion of the course through the discussion of fact-based scenarios derived from a global case study read in advance. This allows participants to better understand the interconnectedness of managing the SEC’s human capital.
- **Leader as Coach:** In FY 2018, SECU developed a full-day class called *Leader as Coach* that was mandatory for management at all levels in the SEC. The course focused on helping managers to provide coaching and feedback to all employees, thereby promoting agency-wide learning and emphasizing career growth. Managers worked together to discuss a wide variety of case studies and role played to practice listening and providing coaching or feedback. SEC managers spent the day developing an understanding of coaching as a conversation distinct from mentoring, feedback, supervising, or consulting with others and increased their knowledge of the basic “moves” of coaching and when to use them. Offerings are ongoing for new SEC managers, and over 95% of SEC managers have participated.

*Compliance Indicator B.6—The Agency involves managers in the implementation of its EEO Program.*

As this report describes, support from managers and supervisors is critical to an effective EEO Program. OEEO engaged Senior Officers, managers, and supervisors in all Divisions and Offices in the EEO Program and related efforts. As described above, throughout FY 2019, SEC leadership demonstrated meaningful commitment to EEO principles and to affirmative employment. Leaders at all levels were involved in different aspects of the SEC’s EEO Program as appropriate, including Special Emphasis Programs and related initiatives and barrier analysis and follow-up (including corrective plans). Managers are required to cooperate as necessary and appropriate with EEO-related

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<sup>16</sup> Online modules include: *The Legal Foundation, Ethics, Understanding Equal Employment Opportunity, Managing in the Union Environment, OMWI Information for Supervisors, Hiring and Staffing, Rules for Managing Performance and Conduct, Collaboration and Resolution (CaRE) (ADR) for Supervisors, Recognition Through Awards, Disability Accommodation, Managing Telework, Work Schedules and Leave, Career Horizons, and Performance Management: A Rating Official’s Guide to Completing Final Performance Appraisals for SK Employees.*

counselings, investigations, and ADR efforts. The Agency also encouraged managers and supervisors to engage with EEO and general D&I-related issues through the EAGs, which serve as advocates for equality, diversity, and inclusion. Each EAG has an Executive sponsor, and all EAGs have fostered employee engagement throughout the SEC by hosting various learning opportunities.

OEE0 is planning in future fiscal years to engage Senior Officers and managers further by consulting with each Division's leadership, providing Division-specific EEO and related data, and soliciting Division personnel to participate in strategic planning discussions and brainstorming appropriate goals and related implementation plans for each Division's strategic plan. Similarly, OEE0 intends in future fiscal years to engage more directly with regional management teams through on-site visits, as feasible.

### Essential Element C: Management and Program Accountability

This element requires the Agency head to hold all managers, supervisors, and EEO officials responsible for the effective implementation of the Agency's EEO Program and Plan. Per MD-715, in ensuring such accountability, the SEC must:

- Conduct regular internal audits, on at least an annual basis, to assess the effectiveness and efficiency of the Title VII and Rehabilitation Act programs and to ascertain whether the Agency has made a good faith effort to identify and remove barriers to equality of opportunity in the workplace.
- Establish procedures to prevent all forms of discrimination, including harassment, retaliation, and failure to provide reasonable accommodation to qualified individuals with disabilities.
- Evaluate managers and supervisors on efforts to provide equality of opportunity for all employees.
- Maintain clearly defined, well-communicated, consistently applied, and fairly implemented personnel policies, selection and promotion procedures, evaluation procedures, rules of conduct, and training systems.
- Implement effective reasonable accommodation procedures that comply with applicable executive orders, EEOC guidance, the Architectural and Transportation Barriers Compliance Board's Uniform Federal Accessibility Standards and Electronic and Information Technology Accessibility Standards (and ensure that EEOC has reviewed those procedures when initially developed and if procedures are later significantly modified).
- Be mindful of the Agency's disability program obligations, including the provision of reasonable accommodations, when negotiating collective bargaining agreements with recognized labor organization(s) representing Agency employees.
- Ensure effective coordination between the Agency's EEO Programs and related human resource programs, including the Federal Equal Opportunity Recruitment Program (FEORP), the Selective Placement Programs, and the Disabled Veterans Affirmative Action Program (DVAAP).

- Review each finding of discrimination to determine the appropriateness of taking disciplinary action against Agency officials involved in the matter. Track these decisions and report trends, issues, and problems to Agency leadership for appropriate action.
- Ensure compliance with settlement agreements and orders issued by the Agency, EEOC, and EEO-related cases from the Merit Systems Protection Board, labor arbitrators, and the Federal Labor Relations Authority.

*Compliance Indicator C.1—The Agency conducts regular internal audits of its component and field offices.*

The SEC is not organized in “field components” but does have various regional offices out of which employees perform mission-related work. For EEO Program purposes, regional office data are considered and included in barrier analysis research, where applicable, along with data from Headquarters.

*Compliance Indicator C.2—The Agency has established procedures to prevent all forms of EEO discrimination.*

As explained in Section A.2 above (Compliance Indicator A.2) and set forth in Table 6, the SEC has promulgated various regulations and procedures to advance the EEO Program. These policies and procedures aid in the proactive prevention of discrimination and increase accountability. Further, clear policies and procedures related to personnel programs generally work to minimize subjectivity, foster consistency in decision-making across the SEC, and clarify the roles and responsibilities of the various offices/programs. In addition to the regulations listed above, SEC managers and supervisors must comply with additional regulations and procedures listed in the following table, thus helping prevent unlawful discrimination:

**Table 6: Regulations Governing Major Personnel Programs**

<b>SEC Regulations</b>
Administrative Leave and Official Time (SECR 6-4)
Delegated Examining (SECR 6-6)
Recruitment, Relocation, and Retention Incentives (SECR 6-10)
Employee Recognition Program for SK Employees (SECR 6-14)
Work Schedule Program (SECR 6-15)
Telework Program (SECR 6-16)
Disciplinary and Adverse Actions (SECR 6-20)
Performance Management Program (for Bargaining Unit Employees) (SECR 6-21)
Overtime, Compensatory Time, Religious Compensatory Time, Travel Compensatory Time, and Pay Limitations (for Bargaining Unit Employees) (SECR 6-22)
Merit Promotion Program (for Bargaining Unit Employees) (SECR 6-23)
Merit Promotion Program (for Non-Bargaining Unit Positions) (SECR 6-24)
Administrative Grievance Procedure (SECR 6-25)
Training and Development Program (SECR 6-28)
Excepted Service Hiring Authority (SECR 6-33)
Position Management and Reorganizations (SECR 6-35)
Pay-Setting for SK Positions (SECR 6-38)

SEC Regulations
Exceptions to Internal SEC Human Resources Policies (SECR 6-39)
Performance Management Program (for Non-Bargaining Unit Employees) (SECR 6-44)
Attorney Hiring (SECR 6-58)
Law Clerk Hiring (SECR 6-60)
Student Honors Programs (SECR 6-61)
Chairman's Attorney Honors Program (SECR 6-62)
Direct Hire Authority (SECR 6-72)
2018 Collective Bargaining Agreement (CBA) between SEC and NTEU Chapter 293

The SEC-NTEU CBA, which has 52 Articles, also creates an expectation of consistency in personnel decision-making and includes an article addressing Equal Employment Opportunity, which affirms the parties' commitment to the principles of EEO and workplace fairness.

Of particular importance, the SEC makes available EEO information related to harassment prevention, reasonable accommodation, and permissible religious expression. For example, the Commission re-issued a Policy on Preventing Harassment and new Procedures Related to the Policy on Preventing Harassment (issued in February 2019), which set forth the anti-harassment policy and program pursuant to the *Faragher-Ellerth* line of Supreme Court cases and the EEOC's *Enforcement Guidance on Vicarious Employer Liability for Unlawful Harassment by Supervisors*. Taken together, these documents set forth all of the criteria established in the enforcement guidance which requires:

- A clear explanation of prohibited conduct;
- Assurance that employees who make complaints of harassment or provide information related to such complaints will be protected against retaliation;
- A clearly described complaint process that provides accessible avenues of complaint;
- Assurance that the SEC will protect the confidentiality of harassment complaints to the extent possible;
- A complaint process that provides a prompt, thorough, and impartial investigation; and
- Assurance that the SEC will take immediate and appropriate corrective action when it determines that harassment has occurred.

The policy and procedures provide a clear explanation of prohibited conduct, specifying that even inappropriate conduct that is not of sufficient severity to constitute unlawful harassment as a matter of law is considered misconduct under the SEC's policy. As set forth in the procedures, OEEO has established a firewall between the anti-harassment program in OEEO and the OEEO Director that is based on the type of work that OEEO staff performing *Faragher-Ellerth* related duties undertake. OEEO staff serve as an intake point for harassment concerns and conduct educational outreach when requested by management; management, in conjunction with other SEC stakeholders such as OHR, OIG, and OGC, remains responsible for gathering information and taking prompt, corrective

action, as needed, under the circumstances. This structure maintains OEE0's independence from the decision-making process on harassment complaints, thus minimizing the potential for a conflict of interest that could arise if OEE0 processes an EEO complaint under Part 1614 involving the same or similar acts of alleged harassment. Beginning in FY 2019, the OEE0 complaints team began formally referring and tracking all allegations of harassment received as part of the informal or formal complaint process.

The SEC's proactive harassment prevention program is grounded in training and early intervention. Program efforts are designed to reduce the incidence and impact of EEO-based harassment. OEE0 facilitates interactive harassment prevention dialogues with the SEC workforce of managers, supervisors, non-supervisory employees, and contractors. These dialogues raise awareness of behaviors that could be offensive on an unlawful basis regardless of intent and promote an environment in which concerns can be addressed and resolved expeditiously and respectfully, thus emphasizing the benefit of immediate reporting. They also introduce participants to the value of bystander awareness in preventing harassment. Interactive sessions help educate parties as to how behavior was perceived and why it could be problematic and inappropriate at work. In FY 2019, 50 training sessions were held, and approximately 1,030 employees and contractors participated. In line with published scientific literature in this area, this program is based on voluntary participation to increase open disclosure of potential concerns and facilitate transfer of learning to the job. Within the SEC, the well-respected PPH program has grown through word-of-mouth and recommendations from participants. In early FY 2020, OEE0 presented a concentrated version of the program to the SEC Chairman, the Commissioners, and their staff.

OEE0 had many contacts regarding potential PPH concerns in FY 2019, and most led to pre-emptive resolution because corrections were made to avoid or resolve the potential PPH issue at the onset before it escalated. Over the past four years, the volume of proactive contacts to OEE0 has increased from fewer than 30 in FY 2015 to a high of 72 in FY 2018; 65 proactive inquiries were logged during FY 2019. OEE0 conducted coaching sessions related to preventing harassment often as a follow on to the outreach described here; 53 SEC participants benefitted from these coaching sessions. Greater societal awareness and the PPH program's positive reputation for confidential (to the extent possible) and quality consultation and coaching has encouraged and led to wider adoption of proactive prevention efforts among leaders and employees. The Commission published new operating procedures in June 2019, which define steps to be taken by parties in response to an alleged harassment incident as well as methods to prevent or address any potentially retaliatory response. Establishing and posting these procedures, jointly signed by the OEE0 Director and the Chief Operating Officer (COO), help communicate both the importance of harassment prevention and the Agency's commitment to the program's goals and intent.

Similarly, the SEC has in place a Reasonable Accommodation Policy and program to ensure that applicants and employees know about their right under the Rehabilitation Act to receive a reasonable accommodation for disability-related limitations if needed to apply for a job, perform the essential functions of a job, or enjoy equal benefits and privileges of employment. This policy also explains management's responsibilities when a supervisor or manager is on notice that an employee requires

a reasonable accommodation. The SEC continues to make progress enhancing this program, and in FY 2019, EEOC informed the Agency that its proposed policy, standard operating procedures, and forms had been approved and comply with applicable EEOC regulations and guidance. The Commission is finalizing these documents internally and will disseminate and train appropriate staff on the revised policy and procedures (and forms), and post them on [SEC.gov](https://www.sec.gov), as required under the new Section 501 Affirmative Action Regulations. As separate offices, there is a clear firewall between OEEO and OHR—the office administering the SEC’s reasonable accommodation and PAS programs. *Additional information about the SEC’s reasonable accommodation program and efforts to correct deficiencies can be found in Part E and in Part J.*

*Compliance Indicator C.3—The Agency evaluates managers and supervisors on their efforts to ensure equal employment opportunity.*

The successful performance of SEC managers and supervisors includes efforts to achieve a workplace free from discrimination. All SEC supervisors and managers have an element in their annual performance appraisal that evaluates commitment to Agency EEO policies and principles and participation in the EEO Program. “*Leading People*” is a critical element in the performance plans of SK-15 supervisors, SK-17 managers, and Senior Officers, all of whom have supervisory responsibilities. This critical element states:

- **Senior Officers:** This executive core qualification involves the ability to lead people and manage the workforce to meet the organization’s mission and goals. Included in this meta competency are behaviors related to conflict management, leveraging diversity, developing others, team building, and human capital management. Fosters an environment that encourages employees to make whistleblower disclosures, which includes responding constructively when employees make disclosures and taking requisite action to resolve the disclosure.
- **SK-15/SK-17:** Plans, distributes, coordinates, and monitors work assignments; evaluates work performance and provides constructive feedback by taking action to address performance problems; ensures staff are appropriately selected and utilized and are treated in a fair and equitable manner regardless of race, gender, age, religion, and other individual differences. Champions and promotes a diverse and inclusive work environment in which all employees have an opportunity to be productive by managing, developing, and treating staff equitably regardless of individual differences. Contributes to a culture of respecting and appreciating diversity and the benefits of a diverse workforce through participating in diversity awareness activities and supporting and/or participating in the Agency’s diversity recruiting and hiring efforts. Fosters an environment that encourages employees to make whistleblower disclosures, which includes responding constructively when employees make disclosures and taking requisite action to resolve the disclosure.

The performance management program provides examples of behaviors in these areas for assessing specific levels of performance. The specific language in “*Leading People*” elements does not explicitly list all day-to-day EEO responsibilities. The language included, however, is intended to require that rating officials assess all those with supervisory duties on all aspects of EEO compliance.

As interpreted and applied; therefore, these critical elements are considered by rating officials in evaluating the performance of all Senior Officers, managers, and supervisors on resolving EEO conflicts, participating in ADR, ensuring cooperation with complaint and harassment prevention processes, providing accommodations as required, ensuring subordinate supervisors are equipped to lead a diverse workforce, collaborating with OEEO and other stakeholders to identify and remove barriers, and complying with EEO-related settlement agreements and orders.

*Compliance Indicator C.4—The Agency ensures effective coordination between its EEO Programs and Human Resources (HR) program.*

OEEO and OHR coordinate effectively and will continue to work on ways to enhance early coordination and collaboration, particularly with respect to substantive reviews of SEC policies and procedures every three years. The CHCO and OEEO Director meet monthly to discuss various personnel programs, policies, and procedures. Notably, coordination between the two offices related to preparing the MD-715 has been enhanced over the last several fiscal years through the use of a SharePoint site that relevant stakeholders can access to provide updates and share information. OEEO and others have timely access to accurate and complete data to prepare the MD-715 workforce data tables and other data calls.

Significantly, OEEO has made preparing and delivering briefings on barrier analysis to OHR leadership and program offices and other internal stakeholders a sustained priority in FY 2019 (and in future fiscal years) to raise awareness of the cross-cutting nature of this work, to highlight intersections and areas for collaboration in report-writing and data gathering, and to increase buy-in from partners across the SEC to EEO-related strategic planning. As mentioned above, OHR and OEEO worked particularly well together in FY 2019 in revamping supervisory training into a blended format (e-learning and live) including scenario-based learning sessions. Another successful area in which OEEO and OHR have coordinated include regarding grievances and MSPB appeals and related EEO complaints to ensure the same matter is not dual-processed inappropriately under applicable legal authorities. Although OMWI primarily worked with OHR to focus on outreach and recruitment for SEC's workforce, OEEO will work on enhancing coordination with these efforts in line with areas for study and/or opportunities identified through its barrier analysis work and to contribute an OEEO perspective to future SEC recruitment strategies. Finally, OHR and OEEO prepared various annual reports (e.g., MD-715, No FEAR Act, the Federal Equal Opportunity Recruitment Plan, and the Disabled Veterans' Affirmative Action Plan) and will continue to enhance early collaboration with respect to all required reports to ensure all perspectives are represented. *For information on collaborative efforts to implement the SEC's affirmative action plan regarding individuals with disabilities, see Part J.*

*Compliance Indicator C.5—Following a finding of discrimination, the Agency explores whether it should take a disciplinary action.*

The SEC's EEO Policy Statement sets forth its commitment to maintaining a work environment that is free of discrimination, harassment, and retaliation. On February 20, 2020, the SEC implemented revised SEC Administrative Regulation 6-20, Disciplinary and Adverse Actions.<sup>17</sup> The regulation sets forth policies and principles for taking disciplinary and adverse actions with respect to bargaining unit and non-bargaining unit employees. The process and procedures covering SEC disciplinary and adverse actions are incorporated by reference in the Collective Bargaining Agreement (CBA) between the SEC and NTEU. The CBA explains that adverse actions are taken “for such cause as will promote the efficiency of the service.”<sup>18</sup> The Agency does not have a Table of Penalties and uses progressive discipline when appropriate.

The SEC has held employees accountable for inappropriate conduct as necessary under the circumstances. For example, two employees were disciplined (i.e., placed on suspension) during the period FY 2015 – FY 2019 (one in FY 2017 and one in FY 2018) in accordance with Agency policy related to conduct found to be inconsistent with EEO and whistleblower protections laws.

In FY 2019, OEEO did not issue any findings of discrimination. In the event of a finding, OEEO would issue a final decision consisting of findings on the merits of each claim and appropriate remedies and relief in accordance with subpart E of 29 C.F.R. § 1614.<sup>19</sup> Where appropriate and permissible, OEEO also would share findings—and/or related necessary policy or practice changes—with other relevant staff. SEC personnel may also learn about findings through posted notices and appropriate discussions in trainings. In sharing such information, OEEO would seek to share lessons learned to avoid additional future violations. In all instances, the Agency would take care to keep identities of personnel involved confidential to the extent required by law.

In certain cases where conduct is found not to be unlawful, but nonetheless problematic, the OEEO Director or designee is also prepared to recommend particular improvements or corrections. OEEO would provide specific feedback, as appropriate, to SEC officials with oversight responsibilities for the involved program or team/employee to improve EEO knowledge, management practices, and share lessons learned. This type of technical assistance would be provided on a need-to-know basis, only after—(a) carefully evaluating the propriety of giving feedback, (b) redacting information to maintain confidentiality where possible and as required by law, and (c) determining that such information can be shared with officials consistent with OEEO's role as a neutral.

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<sup>17</sup> Discipline includes written reprimands and suspensions for 14 calendar days or less. Adverse actions include suspensions for more than 14 calendar days, removals, and reductions in grade or pay.

<sup>18</sup> See also 5 U.S.C. §§ 7503(a) & 7513(a) (codifying that an agency may take disciplinary or adverse actions against an employee “for such cause as will promote the efficiency of the service”).

<sup>19</sup> OEEO would coordinate with the OMWI Director regarding the design and implementation of any remedies set forth in a Final Agency Decision resulting from violations of civil rights statutes, regulations, or Executive orders (as required by the Dodd-Frank Act). See 12 U.S.C. § 5452(a)(3).

*Compliance Indicator C.6—The EEO office advises managers/supervisors on EEO matters.*

At the same time that the SEC holds managers and supervisors accountable for inappropriate EEO-related conduct, it also invests significant effort into equipping them proactively with information to avoid pitfalls in the first place.

The OEEO intranet page, SEC's public website, and posters throughout facilities invite all managers, supervisors, and employees to contact OEEO. Personnel are readily available to provide technical assistance and EEO Program-related info, and do so frequently when contacted directly or through generic email accounts.<sup>20</sup>

During FY 2019, the SEC engaged in numerous actions to promote transparency of its EEO Program, including, but not limited to, the following.

- Pursuant to EEOC's MD-715, the SEC made progress towards conducting six barrier analyses, closed out two analyses, briefed relevant supervisors and managers on analytic work, and continued work on actions and evaluation based on prior barrier analysis work.
- Consistent with EEOC regulations and MD-110, the OEEO compliance program provided timely counseling, alternative dispute resolution, investigation, and final adjudication processes to individuals raising complaints of discrimination, including orienting participants (including supervisors and managers) to the federal sector process and rights and responsibilities.
- The SEC posted EEO complaint processing data on its public website, consistent with the No FEAR Act, and informed new employees of their rights and remedies under antidiscrimination laws and whistleblower protection laws within 90 days of their appointment.
- The SEC published operating procedures implementing the Policy on Preventing Harassment. These procedures define responsibilities, including for supervisors and managers, under the Agency's PPH.
- OEEO offers education, upon request, regarding conduct that could be viewed as inappropriate in the workplace to raise awareness and to support civility and professionalism in the workplace.
- OEEO launched a new supervisor outreach initiative to new and/or newly promoted supervisors within weeks of starting their positions to equip these new leaders with practical tips regarding EEO compliance and points of contact to assist them before more formal training is available.

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<sup>20</sup> OGC provides legal advice to management on EEO matters.

## Essential Element D: Proactive Prevention of Unlawful Discrimination

This element requires that the Agency make early efforts to prevent discrimination and to identify and eliminate barriers to equal employment opportunity. According to MD-715:

Agencies have an ongoing obligation to prevent discrimination on the bases of race, color, national origin, religion, sex, age, reprisal and disability, and eliminate barriers that impede free and open competition in the workplace. As part of this on-going obligation, agencies must conduct a self-assessment on at least an annual basis to monitor progress, identify areas where barriers may operate to exclude certain groups, and develop strategic plans to eliminate identified barriers.

*Compliance Indicator D.1—The Agency conducts a reasonable assessment to monitor progress towards achieving equal employment opportunity throughout the year.*

OEEO's Barrier Analysis Team (BAT) leads SEC efforts to identify triggers, investigate barriers, and offer opportunities for management to adopt as corrective action plans (as needed) on a year-round basis. BAT work is directed on a day-to-day basis by an Industrial/Organizational Psychologist and a Senior Counsel who coordinate with OEEO management, OHR personnel, and Division staff who are necessary partners in conducting effective analyses. BAT work is supported by contractors who have expertise in data analytics.

OEEO continued to mature the barrier analysis program in FY 2019. OEEO had come to understand that project planning is not a mechanical process, but an iterative one to assess progress at significant milestones and make adjustments. In light of this recognition, OEEO initiated a transition to a more Agile approach to project planning in FY 2019. Team members and leadership participated in structured training on Agile principles and engagement with the SEC's Agile Community of Practice. The SEC's progress toward more Agile working methods started in the Office of Information Technology (OIT) and the Division of Economic Risk Analysis (DERA). OEEO's barrier analysis program was one of the first to expand the reach of Agile outside that initial group. Agile uses cross-functional and self-organizing teams, emphasizes collaboration and continuous learning, and speeds up value creation through incremental delivery, resulting in enhanced efficiency and faster value through real-time changes. This approach holds promise in the context of OEEO's affirmative employment program.

*Compliance Indicator D.2—The Agency identifies areas where barriers may exclude EEO groups.*

The SEC will continue to identify barriers (if any) to EEO for specific segments of the workforce and applicants to the Agency. Barriers will be identified using EEOC's recommended methodologies and by applying best practices in social science or Industrial/Organizational psychology. OEEO continues

to conduct barrier analyses throughout the fiscal year using data sources to identify triggers and through additional means including focus groups and individual interviews with decision makers. It made significant progress on a number of barrier analysis studies in FY 2019:

- OEEO briefed senior leaders across the Agency on analytic results from two large scale analytic studies. In early FY 2019, OEEO shared information from the study of female applicants to mission critical occupations (accountant, economist, and securities compliance examiner). Later briefings focused on the study of discretionary cash and time-off awards.
- OEEO hosted a second inter-agency information sharing session with 27 EEO representatives from more than 20 other federal agencies in September 2019. Representatives of EEOC's Office of Federal Operations attended to share in the discussion. Participants' feedback from this session shows how such cross-agency collaboration helps support the individual Agency programs.
- OEEO continued work on the equal employment opportunity analytic tool and the related self-service workforce data summary tools. These tools enable users to review data on the demographic composition within specific occupations of the entire workforce, newly hired staff, applicant flow data (AFD), and separations by critical organizational characteristics. Preparations for changes to the workforce data tables in MD-715 2.0 rely on these tools to support workforce analysis.
- OEEO provided one-on-one consultation with other agencies in devising analytic methods for their barrier analysis and data reporting work. OEEO experts met, individually and in group settings, with more than ten Agency representatives across the year to provide advice and answer questions about data and analytic methods.
- OEEO also extended its reach externally by speaking at local area networking and professional society events, and to a working group on multi-generational issues in the workplace sponsored by the National Academies of Science.
- A description of the work on specific barrier analysis studies follow.

#### [Barrier Analysis Study: Analyses of internal competitive promotion to SO and senior grade level positions](#)

In FY 2019, OEEO completed the last action agreed to in response to this analysis on whether females encounter a glass ceiling as they seek promotion to senior executive positions. Through coordinated efforts across the Agency, significant progress was made toward improvement as a result of these analyses and other efforts related to diversity and inclusion. One action remained open from the agreed-upon action plans as of September 30, 2018. That action requires examining the records and documentation of interview and selections made for internal competitive promotion actions. Data compiled for vacancies posted in FY 2017 and FY 2018

for positions at the SK-15, SK-17, and SO levels were analyzed in FY 2019. OEEEO shared results with representatives of OHR in the summer. OEEEO's analysis supported changes made to process and procedure for screening and interviewing job candidates. Additional improvements to forms design and consistent documentation have been made since the initial implementation of the policy titled *Requirements for Screening and Interviewing Job Candidates* (PM-2016-001) in 2016. OEEEO's review and feedback helped clarify the value of the established policy and procedure to help ensure equality of opportunity for women. This study has now been closed and transitioned toward a longer-term monitoring and evaluation phase. Additional information about this study is included in Part I of this report, *infra*.

#### Barrier Analysis Study: Persons with Disabilities (PWD)

The SEC continued work to analyze and support its commitment to affirmative employment of persons with disabilities. During FY 2019, the SEC continued preparations for implementation of the revised regulation through a variety of actions coordinated across OEEEO, OHR, and OMWI.

- OEEEO worked in collaboration with OHR, OMWI, and the Disability Interests Advisory Council (DIAC) to develop an interactive suite of web content comprising a *Guide to Disability Inclusion in the Workplace*. These materials gather in a single place general tips for working inclusively and disability-specific suggestions. The Guide was launched during National Disability Employment Awareness Month (NDEAM).
- OEEEO also worked with OMWI and DIAC on plans to host an invited speaker for a session titled *Disability, Disclosure, and Identity in the Workplace*, which took place during NDEAM.

Information about the study of PWD and an overview of the Agency's affirmative action plan for persons with disabilities, as well as accomplishments and actions related to those efforts, is found in Part J, *infra*.

#### Barrier Analysis Study: Analyses by gender of applicants to MCO positions

OEEEO concluded its analysis of recruiting and hiring female applicants for employment in the SEC's mission critical occupations (MCOs), specifically, accountant, economist, and securities compliance examiner positions. During FY 2019, OEEEO continued to share research results from this study with Agency leaders. OEEEO offered specific suggestions for action once the hiring freeze was lifted. As a first step in the evaluation plan, OEEEO captured and reviewed the posting language for MCO vacancies in light of this analysis' recommendations. This study has now been closed and transitioned toward a longer-term monitoring and evaluation phase. Additional information about this study is included in Part I of this report, *infra*.

#### Barrier Analysis Study: Analyses of discretionary cash and time-off awards

OEEEO continued analysis of the distribution of discretionary cash and time-off awards to employees in different groups. The SEC began this analysis in FY 2016, and work continued in FY 2019. Analytic work included applying a variety of multivariate linear and non-linear models to awards distributed between FY 2013 and FY 2017. In FY 2019, OEEEO briefed Agency

leadership on the results of this study, offering opportunities for action toward improvement in reviewing and monitoring in areas of awards distribution identified by the study. Based on OEEO's briefings and information sharing, Agency leadership initiated several efforts toward process improvement. Actions emerging from these efforts will be further defined for implementation in FY 2020. Additional information about this study is included in Part I of this report, *infra*.

#### Barrier Analysis Study: Analysis of the accountant occupation

Research into the participation of women in accountant positions continued in FY 2019. Accounting is the SEC's occupation with the second largest employee population. OEEO completed initial data collection in FY 2019. Insights gained from qualitative and quantitative analyses conducted during FY 2019 suggested the need to understand more fully an incumbent's decision to seek promotion. OEEO extended the timeline for this study to incorporate expanded data collection to help us better understand how accountants, both men and women, make decisions about their career development and promotional opportunity. OEEO plans to begin summarizing and interpreting the additional research results during FY 2020. Additional information about this study is included in Part I of this report, *infra*.

#### Barrier Analysis Study: Analysis of the attorney occupation

Research into the participation of men in attorney positions continued in FY 2019. The attorney occupation is the SEC's occupation with the largest employee population. OEEO expanded review of workforce data on the SEC's attorney occupation, started interviewing experts involved in recruiting and hiring attorneys for the Commission, and developed plans for additional qualitative data collection in FY 2020. Additional information about this study is included in Part I of this report, *infra*.

Analytic work supporting these studies continues in FY 2020 to form the basis for suggested action to improve equal employment opportunity.

#### *Compliance Indicator D.3—The Agency establishes appropriate action plans to remove identified barriers.*

OEEO's careful analysis, and synthesis of research results provides a strong, data-driven basis for Agency efforts to further its affirmative employment program. OEEO shares research results and encourages concrete, measurable actions management can take for further improvement. OEEO recently formalized a framework in which final studies and opportunities identified by OEEO are provided to the SEC's Chief Operating Officer (COO), who will, in turn, consult with relevant management and provide updates on action planning and implementation. Pursuant to the framework:

- The COO and other relevant management officials provide SEC management's written response to the analysis no later than 60 days after receipt, including what actions the SEC will take, the timeline for taking the action, and a method of tracking and reporting on the actions management takes.

- The COO, relevant management officials, and the OEEO Director meet three times a year to discuss the status of the SEC management’s action planning. These meetings are also an opportunity for OEEO and SEC management to assess any observable impacts and engage in additional consultation.
- OCOO provides OEEO and the Chairman’s Office with a report annually discussing the status of SEC management’s actions and action planning that relate to OEEO’s analyses. The report is provided a month after the end of the fiscal year so that OEEO can include the information in the SEC’s next MD-715 report.

This framework provides the means not only for action planning, but also for the monitoring necessary to ensure accountability.

*Compliance Indicator D.4—The Agency has an affirmative action plan for people with disabilities, including those with targeted disabilities.*

The SEC has an EEOC-approved affirmative action plan for persons with disabilities. OEEO has applied its research approach to support and assess progress under the Agency’s affirmative action plan for persons with disability. *See Parts I and J of this report for a full discussion.*

## Essential Element E: Efficiency

Management Directive 715 explains that agencies must:

- Have an efficient and fair dispute resolution process and effective systems for evaluating the impact and effectiveness of their EEO Programs.
- Maintain an efficient, fair, and impartial complaint resolution process. Agencies should benchmark against EEOC regulations at 29 C.F.R. Part 1614 and other federal agencies of similar size highly ranked in EEOC’s annual report on the federal sector complaints process.
- Ensure that the investigation and adjudication function of the Agency’s complaint resolution process are kept separate from the legal defense arm of the Agency or other Agency offices with conflicting or competing interests.
- Establish and encourage the widespread use of a fair alternative dispute resolution (ADR) program that facilitates the early, effective, and efficient informal resolution of disputes. Appoint a senior official as the dispute resolution specialist of the Agency charged with implementing a program to provide significant opportunities for ADR for the full range of employment-related disputes. Whenever ADR is offered in a particular workplace matter, ensure that managers, at all appropriate levels, will participate in the ADR process.
- Use a complaint tracking and monitoring system that permits the Agency to identify the location, status, and length of time elapsed at each stage of the Agency’s complaint resolution process, the issues and the bases of the complaints, the aggrieved individuals/complainants, the involved management officials, and other information necessary to analyze complaint activity and identify trends.

- Identify, monitor, and report significant trends reflected in complaint processing activity. Analysis of data relating to the nature and disposition of EEO complaints can provide useful insight into the extent to which an Agency is meeting its obligations under Title VII and the Rehabilitation Act.
- Ensure timely and complete compliance with EEOC orders and the provisions of settlement/ resolution agreements.
- Maintain a system that collects and maintains accurate information on the race, national origin, sex, and disability status of Agency employees.
- Maintain a system that tracks applicant flow data, which identifies applicants by race, national origin, sex, and disability status and the disposition of all applications.
- Maintain a tracking system of recruitment activities to permit analyses of these efforts in any examination of potential barriers to equality of opportunity.
- Identify and disseminate best workplace practices.

According to the MD-715 instructions, “[t]his element requires the Agency head to ensure that there are effective systems for evaluating the impact and effectiveness of the Agency’s EEO programs and an efficient and fair dispute resolution process.”

*Compliance Indicator E.1—The Agency maintains an efficient, fair, and impartial complaint resolution process.*

Year over year, the SEC complaints program continues to improve. In FY 2019, OEEO onboarded a new Deputy Director and took steps to hire a Compliance and Resolutions Branch Manager dedicated to maintaining and enhancing the quality and timeliness of all aspects of the Part 1614 complaint process. The Deputy Director is a former EEO Director at a sister financial regulatory agency with extensive labor and employment legal experience in various sectors. The Branch Manager is a first line supervisor, formerly an EEOC Administrative Judge and EEO Director at other Executive agencies, with extensive federal sector complaint processing experience. They are working collaboratively with existing OEEO staff to assess the SEC’s program and to identify areas for possible enhancements, including adoption of best practices obtained through benchmarking and networking.

The SEC follows the requirements, standards, and practices in Part 1614 and is developing additional tools to promote uniformity and efficiency in complaint-program activities. These resources will facilitate consistent, timely processing of EEO matters. OEEO continued to make enhancements to the complaints program in FY 2019, including, for example:

- Issuing a policy on the use of alternative dispute resolution (ADR) in EEO matters, updating ADR frequently asked questions (FAQs), and creating a new educational resource, *Top 10 Reasons to Consider ADR*, to increase participation in ADR;
- Creating and mandating a new ADR training module for supervisors;

- Creating and updating complaints program standard operating procedures and forms including, for example, related to ADR, referrals to the SEC's harassment program, issuance of litigation holds by OGC, the format for Final Agency Decisions, non-disclosure agreements, and iComplaints security and recordkeeping requirements;
- Creating new complaints-related tracking tools including, for example, related to referrals to and from OEEEO, open case status, and upcoming due dates;
- Assessing quality-control measures related to EEO complaint-processing contractors to ensure they are providing quality work;
- Deploying generic email accounts to ensure ready access to OEEEO staff;
- Leveraging facilitation services offered through OHR for some counseling matters;
- Discussing a protocol with OHR and OGC to ensure these offices timely provide procedural information about matters filed in venues that could displace OEEEO's jurisdiction for processing EEO matters;
- Enhancing counseling protocols with respect to contractors to ensure information relevant to assessing OEEEO jurisdiction over any subsequent formal complaint filed is timely compiled;
- Retraining staff on SEC protocols for reporting privacy breaches;
- Strategizing with SEC Acquisitions staff to streamline access to complaint-processing services;
- Auditing internal recordkeeping practices to organize and update templates and samples to further OEEEO consistency and efficiency;
- Assessing legal obligations related to Union rights at various stages in the EEO administrative process and working with NTEU Chapter 293 regarding a notification protocol for settlements involving bargaining unit members; and
- Assessing possible enhancements to SEC processes for claims of discrimination raised pursuant to Executive Orders regarding parental status, sexual orientation, and gender identity.

These and other enhancements to the EEO complaints program implemented during FY 2019 have helped the Commission comply with Part 1614 and MD-110 requirements. Notably, these changes occurred despite an increase in complaint activity in FY 2019 compared to FY 2018.

In FY 2019, OEEEO completed 37 counselings under Part 1614. (OEEEO received a total of 31 new informal complaints/requests for EEO counseling during FY 2019; not all were completed before the end of FY 2019.) All but one counseling completed in FY 2019 qualified as timely under 29 C.F.R. § 1614.105. Eleven counselings were timely completed within 30 days; eleven traditional counselings were completed timely with written extensions of no longer than 60 days. Eleven counselings were processed through the SEC's ADR program and were timely completed within 90 days. In each of these counselings, the Agency provided the regulatory required notification to individuals of their various rights and responsibilities in the EEO process. This information was provided during the initial counseling session verbally and also later in writing.

In FY 2019, 24 new formal EEO complaints were filed under Part 1614—compared with only 12 in FY 2018. In all new formal complaints, the Agency issued acknowledgement letters upon receipt of a formal complaint. Of the new formal complaints that were filed in FY 2019, the average length of time for issuing the acknowledgement letter was a few days. In addition, OEEO generally issued all Acceptance letters/Dismissal decisions within a reasonable time (e.g., 60 days) after receipt of the written EEO counselor’s report. In FY 2019, OEEO conducted investigations of formal EEO complaints in a timely fashion. Of the nine investigations completed during FY 2019, none were untimely. Thus, in FY 2019, 100% of formal complaints were processed within regulatory timeframes. This compares favorably with the government-wide average of 83.75% for the most recent year for which data is available.<sup>21</sup> OEEO will provide complainants with the regulatory required “180-day letter” if an investigation is expected to exceed 180 days. This letter notifies complainants of the date by which OEEO expects to complete the investigation and informs complainants of their right to request a hearing before an EEOC Administrative Judge or to file a lawsuit. Of the investigations completed during FY 2019, none exceeded 180 days.

In FY 2019, five final Agency decisions (no discrimination found) were issued.<sup>22</sup> In FY 2019, the discrimination bases alleged most frequently at the SEC were: reprisal (14), sex (14), race (12), age (10), and disability (four). For comparison purposes, according to EEOC’s *Annual Report on the Federal Workforce for FY 2018—Complaint Tables*, the top five bases in complaint allegations filed for FY 2018 were reprisal/retaliation, age, disability—physical, sex—female, and race—Black/African American.<sup>23</sup> In FY 2019, the issues most frequently raised at the SEC were: non-sexual harassment (nine), promotion/non-selection (seven), terms/conditions of employment (six), assignment of duties (four), and performance evaluation/appraisal (three). According to the EEOC’s *Annual Report on the Federal Workforce for FY 2018—Complaint Tables*, the top five issues in complaint allegations were harassment—non-sexual, disciplinary action, terms and conditions of employment, promotion/non-selection, and reasonable accommodation.<sup>24</sup>

As soon as OEEO receives notice that a complainant has requested an EEOC hearing before an Administrative Judge (AJ) or has filed an appeal of a final Agency action with EEOC’s OFO, OEEO uploads all documents to FedSEP (the EEOC’s online password-protected federal-sector EEO portal). The SEC also timely issues Final Agency Orders (FAOs) following receipt of any EEOC AJ decision and the associated hearings file.

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<sup>21</sup> The most recent data on EEOC’s website is FY 2018, published as: “U.S. Equal Employment Opportunity Commission, Office of Federal Operations, *Annual Report on the Federal Work Force, Fiscal Year 2018*”. See <https://www.eeoc.gov/federal-sector/report/form-462-and-md-715-data-tables-fy-2017-and-fy-2018>, accessed on July 27, 2020. Government-wide percentage of investigations that were timely completed (including U.S. Postal Service (USPS)) was 83.75%; excluding USPS it was 78.39%.

<sup>22</sup> SEC FY 2019 462 Report: Part I, D.2; Part II, B; and Part VI, B.2.

<sup>23</sup> U.S. Equal Employment Opportunity Commission, Office of Federal Operations, *Annual Report on the Federal Work Force, Fiscal Year 2018*, at Table B-8.

<sup>24</sup> U.S. Equal Employment Opportunity Commission, Office of Federal Operations, *Annual Report on the Federal Work Force, Fiscal Year 2018*, at Table B-8.

*Compliance Indicator E.2—The Agency has a neutral EEO process.*

As noted above, the OEEO Director reports directly to the Chairman of the SEC on substantive EEO matters—not to anyone in OGC or OHR—and exercises full authority to carry out core EEO complaint program functions, thus ensuring impartiality and removing conflict of interest. OEEO carefully safeguards its neutrality and impartiality, which is critical to having an efficient and fair EEO complaint resolution process. OEEO neutrality ensures that employees and managers know that the pre-complaint and investigation stages of the Part 1614 process are not adversarial, that OEEO will compile a neutral and impartial factual record, and that, when requested, OEEO will issue a final decision assessing the facts and law to determine whether or not one or more of the applicable employment discrimination laws have been violated.

Beginning in FY 2019, OEEO made it a strategic priority to ensure that all SEC staff understand the importance of OEEO independence. OEEO staff met collectively to create a mission, vision, description of staff, summary of business lines, and values statement to guide its work and share with the broader SEC community. OEEO independence is prominent in these materials and the message is relayed on OEEO's intranet page and in this report. OEEO staff also reiterate this message in other routine briefings, trainings, and meetings.

*Compliance Indicator E.3—The Agency has established and encouraged the widespread use of a fair alternative dispute resolution (ADR) program.*

Consistent with EEOC Management Directive 110(MD-110) guidance, the SEC has a longstanding ADR program entitled *Conflict to Resolution* or C2R, which primarily uses mediation. In March 2019, OEEO updated its Alternative Dispute Resolution (ADR) policy specifically related to EEO matters. Under this policy and the C2R program, the Commission is committed to resolving workplace disputes in an appropriate, fair, and efficient manner and to using alternative methods for resolving employment-related disputes where appropriate and feasible. Resolving issues early and expeditiously helps maintain a work environment that fosters open communication, trust, and engagement. Used properly in appropriate circumstances, ADR can provide faster, less expensive and contentious, and more productive results in eliminating workplace disputes, including claims of discrimination, harassment, and retaliation and workstyle or personality conflicts that may arise. Thus, some key objectives of the C2R program include resolving workplace conflicts at an early stage if possible, improving workplace communication and morale, and creating a more efficient EEO Program.

The SEC has allocated funding to use contract ADR professionals to resolve workplace disputes; in some instances, OEEO works with the SEC Dispute Resolution Specialist to support facilitation efforts. Consistent with MD-110, the SEC's COO—not the responsible management official directly involved in the dispute—has settlement authority for EEO cases at the administrative level, including during EEO counseling. OEEO works with OGC to ensure that an official with settlement authority is accessible during the dispute-resolution process. The Agency's ADR Policy makes clear that although ADR is voluntary for EEO filers, supervisors and managers must participate in good faith if a filer elects ADR and OEEO authorizes its use.

OEEEO promotes the benefits of ADR on the SEC's intranet and in training materials, including through a mandatory ADR module for supervisors and a tip sheet entitled *Top 10 Reasons to Consider ADR*, both launched in FY 2019. In FY 2019, OEEEO processed a total of 37 informal complaints (informal complaints carried over from FY 2018 and new informal complaints initiated in FY 2019). Among these, the option to pursue ADR in lieu of traditional EEO counseling was routinely explained to counsees. Through C2R, OEEEO conducted 11 mediations during both the formal and informal process; five or approximately 45.45% of these matters settled or resulted in the counsee not filing a formal EEO complaint. Compared to FY 2018, resolution rates for informal and formal mediations remained generally consistent (57.4% versus 45.5%) while participation rates increased (seven mediations versus 11 mediations). OEEEO will continue to monitor whether efforts to increase ADR participation and resolution rates are successful.

*Compliance Indicator E.4—The Agency has effective and accurate data collection systems in place to evaluate its EEO Program.*

The SEC has systems in place to accurately collect, monitor, and analyze various sorts of data critical to a successful EEO Program:

- OEEEO uses the Micropact iComplaints platform to track and analyze complaint activity, including the issues and bases of the complaints, the aggrieved individuals/complainants, and the alleged responsible management officials.
- OHR uses the Department of Interior, Interior Business Center's DataMart to store employee demographic data by sex, race, national origin, and disability status. This demographic information is voluntarily supplied by employees who complete or update certain forms, including Selective Service registrations, SF-181, and SF-256.
- OHR uses USAJobs to collect internal and external applicant flow data by sex, race, national origin, and disability status for all vacancies posted through USAJobs.
- The harassment prevention team in OEEEO uses a SharePoint system to track incoming allegations of harassment. The system capabilities include the ability to attach relevant documents.
- OHR's Reasonable Accommodation Program uses SEC Forms 2937 and 2938 to capture, track, and analyze processing of requests for reasonable accommodation or PAS.
- OMWI and OHR track recruitment efforts through Microsoft Excel and similar tools.

All data collected is treated in accordance with applicable Federal law and SEC policies for data protection, including but not limited to the Privacy Act. Offices supporting the SEC's EEO Program share information, as necessary, in order to conduct assessments and drive enhancements to equality of opportunity at the Agency.

*Compliance Indicator E.5—The Agency identifies and disseminates significant trends and best practices in its EEO Program.*

The SEC regularly monitors trends in its EEO Program to determine whether it is meeting its obligations under the workplace anti-discrimination laws. In preparing the Agency's No FEAR Act year-end report in FY 2019, OEEO examined data to identify potential problems, spotted trends, and developed action plans for the next fiscal year.

As reported in the SEC's FY 2019 No FEAR Act report, OEEO staff members have gained insights that have helped improve the SEC's overall EEO Program, including the following.

- Maintaining EEO office independence—e.g., organizational autonomy from the Office of the General Counsel, the Office of Human Resources, and others with conflicting interests—is indispensable to safeguarding the statutory enforcement mechanisms Federal law and the EEOC require agencies to establish and maintain to remedy civil rights violations. This independence also is vital to fostering trust that the EEO Program is (and appears) impartial and separate from other offices with potentially conflicting interests.
- Many substantive EEO concepts are complex, and new supervisors may sometimes struggle to apply complicated rules (e.g., those involving disability and anti-retaliation laws). Consistent proactive prevention of discrimination, harassment, retaliation (including whistleblower retaliation), and other prohibited personnel practices—through training and targeted technical assistance—remains vital to fostering workplace civil rights and upholding merit system principles.
- The federal-sector EEO process itself can seem confusing to new employees, and often even to career civil servants. There are numerous, sometimes overlapping sources of legal protection (e.g., via statutes, regulations, and Executive Orders) and various related enforcement processes (e.g., the Part 1614 process, intra-Agency harassment procedures, Union grievances, Office of Special Counsel/Merit Systems Protection Board complaints). Accordingly, regular messaging reinforced through outreach can aid understanding and minimize confusion. In particular, explaining the differences between filing an EEO complaint alleging violations of federal law and reporting harassment under the SEC's harassment prevention policy is important.
- Raising awareness through sharing personal stories about words and conduct that could be perceived as offensive in the workplace can help reduce EEO complaints alleging harassment. OEEO will continue to monitor educational efforts to determine if this impact is sustained over the longer term.
- All organizational leaders must consider EEO and civil service protections before and while implementing new or changed policies, practices, procedures, and organizational matters that could affect the workforce. Reaching out to the OEEO Director early and often to obtain crucial input and feedback on personnel, budget, technology, and other workforce issues can help prevent potential EEO missteps and ensure EEO best practices are adopted.

- Resolving issues early and expeditiously helps maintain a work environment that fosters open communication, trust, and engagement. Used properly in appropriate circumstances, alternative dispute resolution (ADR) can provide faster, less expensive and contentious, and more productive results in resolving workplace disputes, including claims of discrimination, harassment, and retaliation or workstyle or personality conflicts that may arise. The SEC must be open to and make reasonable efforts to settle complaints of discrimination as early as possible in, and throughout, the administrative processing of complaints.

OEEO is applying the above experience and insights in planning its priorities. A primary focus will be implementing Goal 3 of SEC *Strategic Plan* for Fiscal Years 2018–2022 (Elevate the SEC’s performance by enhancing analytical capabilities and human capital development) and Initiative 3.1 (Focus on the SEC’s workforce to increase capabilities, leverage shared commitment to investors, and promote diversity, inclusion, and equality of opportunity among the agency’s staff). In addition to supporting the implementation of the SEC *Strategic Plan*, in FY 2020, OEEO will:

- Continue to process all informal and formal complaints and requests for ADR in compliance with 29 C.F.R. Part 1614 and EEOC MD-110;
- Support efforts to continue implementing the EEOC’s affirmative action regulations under Section 501 of the Rehabilitation Act of 1973;
- Conduct ongoing barrier analyses required by the EEOC, including monitoring action plans that effectively address identified barriers; and
- Collaborate with the federal sector EEO community to share and learn best practices and innovative approaches to enhance equality of employment opportunity.

More generally, OEEO will support the SEC in focusing on the following objectives during FY 2020 and FY 2021:

- Continuing to incorporate the EEOC’s Six Essential Elements of a Model EEO Program to achieve greater program effectiveness;
- Briefing senior leadership on the state of the EEO Program to reaffirm support for the program, provide awareness of issues and trends (systemic or otherwise), and solicit input on strengthening the EEO Program;
- Maintaining accuracy of EEO complaint data;
- Leveraging internal communication channels to distribute EEO-related information and promoting communication of information and early intervention to help officials identify the issues and bases that may give rise to EEO complaints;
- Training supervisors and managers to provide proactive approaches to resolving issues stemming from alleged violations of personnel policies and practices;

- Fostering constructive, open, continuous communication between employees and management to help resolve workplace conflicts at the earliest possible opportunity, and ensuring that employees, management officials, and persons with settlement authority understand the purpose and value of ADR;
- Increasing employee awareness of EEO statutes;
- Continuing to collaborate with stakeholders across the Agency to analyze workforce demographic data and to foster employment opportunity for all consistent with applicable law, rules, regulations, and guidance;
- Reviewing information from employee surveys, exit interviews, focus groups, and training to identify opportunities for improvement; and
- Incorporating EEO best practices gained through the SEC's coalitions with other Federal agencies.

Consistent with these objectives, to identify and keep abreast of significant external EEO complaint processing trends and best practices, OEEO compares SEC data with data for similar size and mission-focused agencies using existing and available government-wide federal sector reports. OEEO personnel also review new EEOC regulations, guidance, and case law updates (such as the EEOC's Digest of EEO Law); monitor current development periodicals; and consult other external expert resources. In addition, the OEEO Director attends EEOC's Quarterly EEO Director Meetings to learn from other EEO directors and share innovative ideas. Similarly, OEEO staff take advantage of OPM knowledge-sharing vehicles and network with EEO professionals in numerous other contexts (such as at annual FDR and EXCEL conferences). Staff also participate in inter-agency EEO councils (such as the Small Agency EEO Council) and more informal cross-government task forces.

This concerted, sustained engagement with EEO peers and other colleagues help OEEO learn about and share EEO best practices. For instance, during FY 2019, OEEO staff participated in ad hoc inter-agency working groups formed to share best practices for implementing the EEOC's new Section 501 affirmative action regulations and preparing MD-715 reports. Additional cross-agency collaboration on barrier analysis (see discussion above) and harassment prevention was driven by OEEO in FY 2019. OEEO's PPH educational program expanded in scope to reach other agencies when representatives of 11 federal agencies attended a dialogue session. OEEO then hosted an inter-agency session to discuss best practices for preventing harassment; seven agencies were represented. OEEO's training approach was shared even more broadly when OEEO presented an interactive session at the Federal Dispute Resolution (FDR) Training in August 2019 to approximately 200 attendees. OEEO also met with EEOC's Office of Federal Operations (OFO) to share information about the PPH program. The SEC understands that OFO is considering building an experiential component to their own harassment prevention program.

## Essential Element F: Responsiveness and Legal Compliance

According to Management Directive 715, federal agencies must:

- Ensure that they are in full compliance with the law, including EEOC regulations, orders, and other written instructions;
- Report Agency program efforts and accomplishments to EEOC and respond to EEOC directives and orders in accordance with EEOC instructions and time frames; and
- Ensure that management fully and timely complies with final EEOC orders for corrective action and relief in EEO matters.

*Compliance Indicator F.1—The Agency has processes in place to ensure timely and full compliance with EEOC Orders and settlement agreements.*

The SEC has a system of management controls to ensure that its officials timely comply with all EEOC orders/directives, final Agency actions, and settlement agreements. OEEO compliance team members are tasked with monitoring and facilitating compliance (working with OGC and other stakeholders) with all orders and directives issued by EEOC Administrative Judges and the EEOC's Office of Federal Operations, as well as with any final Agency action issued by OEEO, as applicable. The SEC's OGC monitors compliance with settlement terms.

In addition, as discussed above, Senior Officers, managers, and supervisors are evaluated under *Leading People* critical performance elements that are interpreted to require them to comply with settlements agreements and orders issued by the Agency (e.g., through OEEO final actions, including final decisions on EEO complaints), EEOC (e.g., by AJs or by OFO on administrative appeals), and EEO-related cases from the Merit Systems Protection Board, labor arbitrators, and the Federal Labor Relations Authority. Individuals who fail to adhere to these performance standards would be held accountable accordingly through the performance management process. Relatedly, any SEC employee responsible for compliance with EEOC orders would be held accountable for poor work product and/or delays connected to compliance with such orders.

*Compliance Indicator F.2—The Agency complies with the law, including EEOC regulations, management directives, orders, and other written instructions.*

As a general matter, when an EEO complainant requests a hearing or files an appeal, OEEO staff will check FedSEP regularly to ascertain whether the matter has been docketed. Regardless of docketing status, OEEO staff will upload the complaint file as prescribed by EEOC orders and/or established regulatory timeframes for use by the EEOC (either by an EEOC AJ as part of hearing proceedings or by OFO in adjudication of an appeal).

Throughout FY 2019, the SEC timely responded and fully complied with all EEOC orders issued as part of the hearings and/or appeals process. Where necessary, the Commission promptly provides EEOC with required documentation for completing compliance with any such orders.

In any case involving an EEOC finding of discrimination that would not be the subject of an appeal by the Agency, OEEO compliance staff would work with OGC and other necessary stakeholders to ensure timely and full compliance and to promptly provide EEOC with any required documentation substantiating such compliance.

*Compliance Indicator F.3—The Agency reports to EEOC its program efforts and accomplishments.*

The SEC regularly complies with regulatory requirements to submit an annual Form 462 Report, EEOC MD-715 Report, the Federal Equal Opportunity Recruitment Program (FEORP) Report, the Disabled Veterans Affirmative Action Program (DVAAP) Report, and quarterly and annual No FEAR Act reports. In FY 2019, all annual reports were accurate and complete and submitted on time. Also in FY 2019, OEEO posted all four quarterly No FEAR Act data reports on its public website, [SEC.gov](http://SEC.gov), on time (i.e., within 30 days after the end of each fiscal year quarter (with any extension granted because of government furlough)).

### Workforce Analyses

The SEC analyzes workforce data to identify triggers that may require further inquiry regarding whether or not barriers to equal employment opportunity based on race, ethnicity, sex, or disability exist. Starting in FY 2017, the EEOC's OFO began implementing revised guidance and instructions for presenting workforce data in the annual reporting under MD-715 (hereinafter, version MD-715 2.0 or version 2.0). This change transitions analysis of workforce data from an employment-process focus to a population focus. In prior years, tables were prepared to present data separately for applications from recruiting, for newly hired staff, for competitive promotion, for non-competitive promotion, and for career development in separate tables.

In the 2.0 version, workforce data about the progress of groups of employees through these employment processes is presented in one table.

- Tables A1 and B1 present information about the *total workforce* across the employment life cycle, i.e., current status or the total number of employees in the workforce at the close of the fiscal year, gains through recruiting and hiring over the reporting period, and losses or separations.
- Tables A2 and B2 are unchanged in version 2.0, presenting information for *reporting subcomponents*, at the SEC, by regional office.
- Tables A3 and B3 present information in the EEOC's occupational categories for EEO-1 reporting enabling comparison across government and to private sector organizations.

- Tables A4 and B4 are unchanged in version 2.0, presenting information by *pay grades* or, at the SEC, by SK-levels.
- Tables A5 and B5 present salary information by \$10,000 increments enabling comparison for employees serving in various pay systems across government and to private sector organizations.
- Tables A6 and B6 present information about employees serving in each of the Agency’s *Mission Critical Occupations (MCOs)*. This information describes current status or the total number of employees serving in each pay level at the close of the year and gains through recruiting and hiring.
- Tables A7 and B7 present information about employees serving in *senior grade levels*, equivalent to GS-13 through SES in the General Schedule and Senior Executive Service at other agencies. These tables share information about the current status or total number of employees in each senior grade level at the close of the fiscal year, gains through competitive promotions and newly hired staff, and progress through career development of employees seeking each senior grade level.
- Tables A8 and B8 present information about employees in *management levels*, i.e., first level supervisors, managers, and executives, including information about current status or the number at each leadership level, gains through competitive promotions and newly hired leaders, and progress through career development of employees seeking each leadership level.
- Tables A9 and B9 present information about *awards* under the Agency’s Employee Recognition Program and performance-based pay actions, e.g., under the Agency’s pay-for-performance evaluation system.

The next sections provide a selected analysis of workforce data aligned with the version 2.0 workforce data tables by ethnicity/race and gender. Part J provides analysis of workforce data by disability status.

Within these workforce analyses, this report describes identified “triggers,” or observed differences in participation rates (i.e., the proportions of employees across the demographic groups) and/or inclusion rates (i.e., the proportions of a total employee group found in a particular condition). A “trigger” is a trend, difference, variance, outlier, or anomaly that suggests the need for further inquiry into a particular policy, practice, procedure, or condition. Statistics are only a starting point for analysis that must consider the totality of the circumstances.

In many cases, triggers are evidenced through comparison of workforce data to civilian labor force participation rates. The *EEO Tabulation*, produced using the 2006–2010 American Community Survey (ACS) survey data, is the primary external benchmark for conducting comparisons between the ethnicity/racial and sex composition of each employer’s workforce to its available labor market. According to Census Bureau information about the *EEO Tabulation*, “The sponsors have determined the next EEO Tabulation release will be by Fall 2020/Spring 2021, which will use the 2014–2018 5-year American Community Survey (ACS) dataset.”<sup>25</sup> For brevity, benchmark data from the 2006–2010 *EEO Tabulation* is referred to as the 2010 civilian labor force (CLF) or for specific MCO positions, the occupational civilian labor force (OCLF), in this report and accompanying workforce tables. Occupational comparisons are initially made using broad categories of civilian jobs that do not differentiate between characteristics such as industry (e.g., finance versus health care) or specialization (e.g., securities versus employment law). Please refer to Part I of this report, *infra*, for the SEC’s plans for analyzing and enhancing equality of opportunity for SEC employees and applicants for employment.

### *SEC’s Total Workforce*

At the end of FY 2019, the SEC had 4,365 employees, 4,266 permanent and 99 temporary. Of the 4,266 permanent employees, there were 2,294 (53.77%) men and 1,972 (46.23%) women. The SEC gained a total of 53 permanent employees, 25 (47.17%) men and 28 (52.83%) women.

In FY 2019, the SEC had a separation rate of less than four percent (150 separations for a turnover rate of 3.52%) of its total permanent workforce. The SEC aims to keep its turnover rate relatively low, i.e., below eight percent per year. Of the 149 voluntary separations, six were Hispanic or Latino employees, 109 were White employees, 21 were Black or African American employees, and 12 were Asian employees. While the overall separation rate was low, White men represented a higher proportion of permanent employee separations than their participation in the total workforce. White men comprise 48.67% of separations, while they were 39.24% of the permanent workforce. They comprise 51.19% of resignations. Separations were not higher than permanent workforce participation for any other group. The following table summarizes participation within the SEC’s permanent total workforce compared to the 2010 CLF.<sup>26</sup>

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<sup>25</sup> The sponsors are the EEOC, Department of Justice’s Employment Litigation Section of the Civil Rights Division, Department of Labor’s Office of Federal Contract Compliance Programs (OFCCP), and the U.S. Office of Personnel Management (OPM). According to the U.S. Census Bureau, which produces the EEO Tabulation, the ACS “produces period estimates of socioeconomic and housing characteristics. It is designed to provide estimates that describe characteristics of an area over a specific time period. In the case of ACS one-year estimates, the period is the calendar year. While a one-year estimate includes information collected continuously nearly every day from independent monthly samples over a 12-month period, a five-year estimate includes statistics collected over a 60-month period. Then [the Census Bureau] aggregate[s] the results over the specified period of time. For example, the 2006-2010 ACS five-year estimates describe the population and housing characteristics of an area for the period January 1, 2006 through December 31, 2010. They do not describe any specific day, month, or year within that time period. The cumulative sample of the ACS taken over a five-year time period allows measurement of detailed characteristics in local geographies and increases precision of its estimates.” *Equal Employment Opportunity Tabulation FAQs*, accessed from <https://www.census.gov/topics/employment/equal-employment-opportunity-tabulation/about/faq.html> on July 20, 2020.

<sup>26</sup> As per the EEOC’s instruction, MD-715 tables include only data on permanent employees, unless otherwise noted.

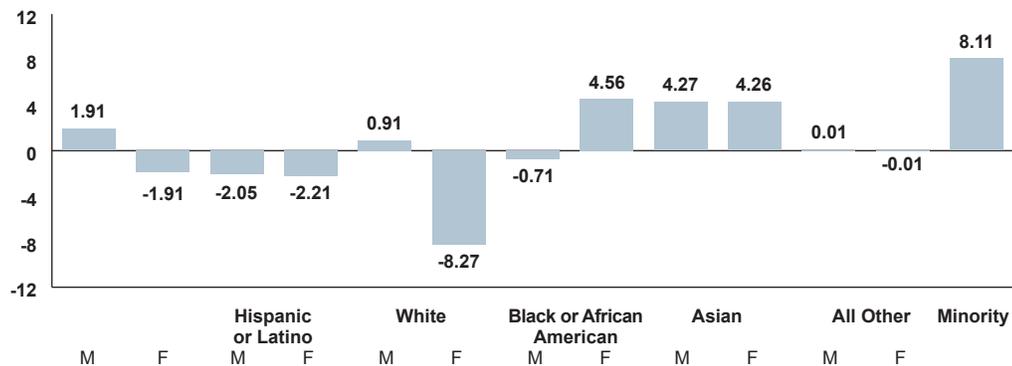
**Table 7: SEC FY 2019 Permanent Total Workforce Compared to 2010 Civilian Labor Force (CLF)**

Total Permanent Workforce FY 2019		Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority
					M	F	M	F	M	F	M	F	M	F	
Current Status	#	4,266	2,294	1,972	133	110	1,674	1,099	204	473	266	264	17	26	1,493
	%	100	53.77	46.23	3.12	2.58	39.24	25.76	4.78	11.09	6.24	6.19	0.40	0.61	35.00
<b>2010 CLF</b>	%	100	51.86	48.14	5.17	4.79	38.33	34.03	5.49	6.53	1.97	1.93	0.88	0.88	32.81
Gains: New Hires	#	53	25	28	4	0	15	18	4	4	2	6	0	0	20
	%	100	47.17	52.83	7.55	0.00	28.30	33.96	7.55	7.55	3.77	11.32	0.00	0.00	37.74
Losses: Separation	#	150	84	66	3	3	73	37	6	15	2	10	0	1	40
	%	100	56.00	44.00	2.00	2.00	48.67	24.67	4.00	10.00	1.33	6.67	0.00	0.67	26.67

The graphic below provides a visual comparison of the FY 2019 participation for each ethnicity/race and gender combination to the baseline CLF (2010). The height of each bar above or below the line reflects differences in participation rates. The participation of White female employees at the SEC shows the largest difference at -8.27% points below their participation in the 2010 CLF. Hispanic or Latino men and women show levels of difference that are both similar in magnitude to each other and a little more than 2% points below their participation in the 2010 CLF (Hispanic or Latino men at -2.05% points and Hispanic or Latino women at -2.21% points).

Relative to other ethnicity/race and gender groups, the SEC’s permanent workforce has higher participation of Asian employees, both men and women, and among Black or African American women. For these groups, the participation in the SEC’s permanent staff is 4.26 to 4.57% points higher than that demographic group’s 2010 CLF participation. Those specific groups contribute the largest portion to the 8.11% point difference in participation of all minority group members. While these data suggest that participation in the total SEC permanent workforce for these groups is higher than in the 2010 CLF, more specific analysis by occupation and pay grade tells a more nuanced story. Additional detail about those groups is shared later in this section through comparisons to occupational CLF (OCLF) and by pay grade or leadership level, *infra*.

**Percentage Difference Between SEC Total Workforce and Civilian Labor Force (2010) by Ethnicity/Race and Gender**



### *SEC's Mission Critical Occupations*

This section discusses workforce analysis in each of the SEC's five mission critical occupations (MCO): attorney, accountant, securities compliance examiner, information technology management, and economist. Among the SEC's total permanent employees, there were 1,797 attorneys, 846 accountants, 326 securities compliance examiners, 284 information technology (IT) management employees, and 84 economists. For each MCO, selected analysis of current status in terms of participation and inclusion by SK-levels, gains through external hiring and progress through competitive promotion of men, women, and minority group members are presented. Detailed analysis of promotion for PWD is provided in Part J, *infra*. Background information on the analyses presented provides the reader a basis for interpreting these selected analyses.

### Employee Gains and Career Progression

Information about employee gains from external hiring and progression through competitive promotion are key to assessing equal employment opportunity for the Agency's MCO workforce. Analysis of recruiting, hiring, and competitive promotion is of particular importance this fiscal year. A hiring freeze was lifted in the midst of FY 2019, and the SEC welcomed almost twice as many new staff members in FY 2019 as compared to the prior year.

Applicant Flow Data (AFD) is an important tool used to examine the fairness and inclusiveness of recruitment efforts and career progression of the workforce. These data are available through OPM's USA Staffing<sup>®</sup> only for SEC vacancies posted on USAJOBS. The SEC uses USAJOBS for most, but not all, of its hiring actions.<sup>27</sup> In FY 2019, the SEC did not have a tool to capture and report on applicant data for hiring actions outside of USAJOBS.

A few important notes about AFD help facilitate interpretation. First, selections designated within AFD are tentative. AFD presented in various workforce tables show the demographic makeup for all applications<sup>28</sup> from persons who self-identified and were: (1) qualified; (2) referred; or (3) tentatively selected for vacancies posted on USAJOBS that closed during FY 2019. Various hiring process steps, beyond a tentative selection decision, may impact success in onboarding a new hire (e.g., suitability assessment or declination of offer). To help distinguish the data on hiring, the workforce data tables provide separate rows of information for all employees newly hired and onboarded during the course of the fiscal year. Differences are observed in the demographic statistics of those selected versus those hired and brought on board.

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<sup>27</sup> For example, hiring into accountant and economist positions under the SEC's Fellows authority and, in some cases, attorneys into the Excepted Service under 5 C.F.R. § 213.3102(d) do not require public posting through USAJOBS. The SEC does proceed with public posting for a large number of vacancies even where such is not required.

<sup>28</sup> Note that a single applicant may submit more than one application for the same vacancy, which was posted at different grade levels, and for the same job across vacancy postings. AFD, then, include more than one record for a particular employee or external applicant; each application is counted separately.

Second, applicants for external hiring are encouraged to voluntarily provide data on their gender, race/ethnicity, and disability as part of their USAJOBS profile. Because self-identification is not required by USAJOBS and depends on applicants' willingness to volunteer their demographic information, data should not be extrapolated from the group that voluntarily identified their demographics to the remaining applicants who did not. At the same time, as a result of changes made to improve the collection of applicant profile data since 2016, AFD in this report include gender and/or ethnicity/race data for 66.90% of the applications for SEC employment or promotion submitted through USAJOBS. For the five MCOs at the SEC (i.e., attorneys, accountants, securities compliance examiners, information technology management, and economists), applicants self-identified gender and/or ethnicity/race from a high of 75.62% for information technology management to a low of 50.00% for economists.

In FY 2019, OPM implemented a number of actions to help agencies in their analysis of AFD. OPM: (1) made information about appointment type (permanent or temporary) available for each vacancy; (2) created a variable so that agencies can more easily identify supervisory versus non-supervisory vacancies; and (3) changed AFD so that all applications submitted by the same applicant reflect a unique identifier, providing valuable data for agencies to analyze and identify demographic trends for successful and unsuccessful applicants. These actions provide some, but not all, of the information needed to complete workforce data tables under the MD-715 2.0 design.

In particular, OPM's USAStaffing system does not capture information about the interview stage of the hiring process.<sup>29</sup>

Analysis of internal competitive promotion is another area of interest in the SEC's review of equal employment opportunity. To explore data related to promotional opportunity, unlike what was done for current status of the total workforce and for each MCO, comparisons are made to the composition of the SEC's overall workforce. In particular, EEOC has suggested that agencies consider the Relevant Applicant Pool (RAP)<sup>30</sup> in benchmark comparisons for each occupation. The demographic profile of the RAP represents more closely an attainable standard for workforce composition. Data on the RAP for each MCO is provided in summary level within this section and in Table A6 (as well as Table B6 by disability status).

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<sup>29</sup> For purposes of this report, Tables 6, 7, and 8 omit the rows that should summarize AFD at the interview stage. These data are unavailable via USAStaffing.

<sup>30</sup> The RAP defined for each MCO is based on the number of employees holding a qualifying occupation series and in the SK-levels encumbered at the Agency between SK-11 and SK-16. Specifically, for attorneys, the RAP included all employees in the 0905 series. For accountants, the RAP included all employees in the 0510 series. For securities compliance examiners, the RAP included all employees in the 1831 and the 0501, Financial Administration and Program series. For the information technology management occupation, the RAP included all employees in the 2210 series, and for the economist occupation, the RAP included all employees in the 0110 series.

As the SEC has continued to evaluate data on competitive promotion, we have learned that employees are less likely to self-identify their demographic information in AFD. To help ensure higher quality analysis, data on internal competitive promotion augments AFD with an employee's self-identification data from the Agency's Human Resource Information System (HRIS). The SEC has encouraged employee self-identification for demographic information, particularly for disability status. To leverage the greater coverage of demographic data, progress through competitive promotion is summarized and analyzed through a combination of AFD and internal HRIS records for employees on staff.

Pursuant to EEOC's instruction, internal competitive promotion data include AFD for vacancies posted for internal SEC-only and Merit Promotion consideration. Other methods of progressing to higher graded positions are not captured. Employees in the competitive service across the government are eligible to apply for MP postings. AFD for these vacancies does not benefit from the additional demographic information available for SEC employees on staff. Summaries of these vacancy postings are, then, restricted to data available from AFD.

Finally, the SEC's fellows programs are an important pathway into MCOs. In FY 2019, the SEC implemented the practice of posting all fellows opportunities on USAJOBS. This step will enable better monitoring of demographic data on fellows for MCOs.

With this context, the next sections present data on each MCO. Following sections present similar information for SEC's senior-graded and leadership positions.

#### Attorneys

The current status, gains through external hiring and internal competitive promotion of attorneys is presented in the table below. In FY 2019, among the 1,797 attorneys there were 988 (54.98%) men, 809 (45.02%) women, and 407 (22.65%) minority group members. The Agency hired twenty-eight attorneys and promoted thirty-six.

A more detailed analysis of men and women who hold positions in the attorney occupation, the Agency's largest MCO, is presented below, *infra*.

**Table 8: Table Attorney (0905) MCO Workforce Compared to the Occupational Civilian Labor Force (OCLF)**

Attorney (0905) Permanent Employees FY 2019		Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority
					M	F	M	F	M	F	M	F	M	F	
2010 OCLF	%	100	66.70	33.30	2.52	1.85	59.68	26.68	2.13	2.60	1.82	1.74	0.01	0.00	12.67
Current Status: MCO Workforce	#	1,797	988	809	44	34	808	582	52	74	82	111	2	8	407
	%	100	54.98	45.02	2.45	1.89	44.96	32.39	2.89	4.12	4.56	6.18	0.11	0.45	22.65
Gains: New Hires	#	28	13	15	2	0	10	11	1	1	0	3	0	0	7
	%	100	46.43	53.57	7.14	0.00	35.71	39.29	3.57	3.57	0.00	10.71	0.00	0.00	24.99
Progression: Competitive Promotion	#	36	24	12	0	0	19	9	0	0	5	3	0	0	8
	%	100	66.67	33.33	0.00	0.00	52.78	25.00	0.00	0.00	13.89	8.33	0.00	0.00	22.22

Note: Within each row, # shows the count of employees and % the participation rate. New hires may not equal selections because onboarding of selections made in the prior fiscal year can occur in the current fiscal year, and selections may not materialize into hires. Competitive promotion data include AFD information for vacancies posted for internal SEC-only and MP consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. See Table A6.

*Gains, AFD for External Hiring: Attorneys (0905)*

The SEC received 1,875 applications through USAJOBS and made 15 selections for attorney positions. Of the 1,875 applicants, 1,103 self-identified. Among those who self-identified, 706 (64.01%) were men and 397 (35.99%) were women. Fifteen of the self-identified applicants were selected. Of the 15 selectees who self-identified, 7 were men and 8 were women.

*Progression, AFD for Internal Progression Competitive Promotion: Attorney (0905)*

The SEC received 245 applications for the 36 attorney competitive promotions. Of the 245 individuals who self-identified, 221 qualified for promotion, 153 men and 68 women. Of those tentatively selected for the promotions, 24 were men and 12 women. White employees comprised 177 (80.09%) of the qualified applicants and received 28 (77.78%) of the 36 competitive promotions, with White men receiving 52.78% of the promotions and White women receiving 25.00% of the promotions. A further demographic breakdown by ethnicity/race and gender of the candidates who applied for internal promotions follows.

**Table 9: Attorney (0905) FY 2019 Applicant Flow Data: External Hiring and Internal Promotion**

Attorney (0905) Permanent Employees FY 2019		Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority
					M	F	M	F	M	F	M	F	M	F	
<b>Applicant Flow Data: New Hires</b>															
Total	#	1,875													
Applied	#	1,103	706	397	116	43	421	158	86	139	70	55	13	2	524
	%	100	64.01	35.99	10.52	3.90	38.17	14.32	7.80	12.60	6.35	4.99	1.18	0.18	47.51
Qualified	#	922	603	319	102	34	370	141	70	103	55	40	6	1	411
	%	100	65.40	34.60	11.06	3.69	40.13	15.29	7.59	11.17	5.97	4.34	0.65	0.11	44.58
Referred	#	154	99	55	9	0	74	34	7	11	9	10	0	0	46
	%	100	64.29	35.71	5.84	0.00	48.05	22.08	4.55	7.14	5.84	6.49	0.00	0.00	29.87

Attorney (0905) Permanent Employees FY 2019	Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority	
				M	F	M	F	M	F	M	F	M	F		
				#	%	#	%	#	%	#	%	#	%		#
Selected	#	15	7	8	2	0	4	6	0	2	1	0	0	0	5
	%	100	46.67	53.33	13.33	0.00	26.67	40.00	0.00	13.33	6.67	0.00	0.00	0.00	33.33
<b>Internal Competitive Promotion</b>															
<b>RAP</b>	%	100	54.19	45.81	2.30	2.23	43.65	32.30	3.18	4.26	4.93	6.49	0.14	0.54	24.05
Total	#	245													
Applied	#	245	169	76	3	5	139	54	9	6	18	10	0	1	52
	%	100	68.98	31.02	1.22	2.04	56.73	22.04	3.67	2.45	7.35	4.08	0.00	0.41	21.22
Qualified	#	221	153	68	3	5	127	50	7	4	16	8	0	1	44
	%	100	69.23	30.77	1.36	2.26	57.47	22.62	3.17	1.81	7.24	3.62	0.00	0.45	19.91
Referred	#	62	38	24	0	2	30	18	2	0	6	4	0	0	14
	%	100	61.29	38.71	0.00	3.23	48.39	29.03	3.23	0.00	9.68	6.45	0.00	0.00	22.58
Selected	#	36	24	12	0	0	19	9	0	0	5	3	0	0	8
	%	100	66.67	33.33	0.00	0.00	52.78	25.00	0.00	0.00	13.89	8.33	0.00	0.00	22.22

Note: This table includes the total number of applications received, and aggregated counts and percentages at the four distinct stages of the selection process for all applicants who self-identified their ethnicity/race and gender. All percentages are calculated based on the total within the row. The All Other column includes the following race groups: American Indian/Alaska Native, Native Hawaiian/Pacific Islander, and Two or More; none of these groups individually represent at least two percent of the total. See Table A6.

### Accountants

The current status, gains through external hiring, and competitive promotion of accountants is presented in the table below. In FY 2019, among the 846 accountants there were 482 (56.97%) men, 364 (43.03%) women, and 242 (28.61%) minority group members. The Agency hired one accountant and promoted three. A more detailed analysis of men and women who hold positions in the attorney and accountant occupations, the Agency's two largest MCOs, is presented later in this report, *infra*.

**Table 10: Accountant (0510) FY 2019 MCO Workforce Compared to the (OCLF)**

Accountant (0510) Permanent Employees FY 2019	Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority	
				M	F	M	F	M	F	M	F	M	F		
				#	%	#	%	#	%	#	%	#	%		#
<b>2010 OCLF</b>	%	100	39.91	60.09	2.19	3.93	31.79	44.23	2.49	5.66	3.06	5.49	0.38	0.78	23.98
Current Status: MCO Workforce	#	846	482	364	28	22	374	230	32	44	46	64	2	4	242
	%	100	56.97	43.03	3.31	2.60	44.21	27.19	3.78	5.20	5.44	7.57	0.24	0.47	28.61
Gains: New Hires	#	1	1	0	0	0	1	0	0	0	0	0	0	0	0
	%	100	100.00	0.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Progression: Competitive Promotion	#	3	2	1	0	0	2	1	0	0	0	0	0	0	0
	%	100	66.67	33.33	0.00	0.00	66.67	33.33	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: Within each row, # shows the count of employees and % the participation rate. New hires may not equal selections because onboarding of selections made in the prior fiscal year can occur in the current fiscal year, and selections may not materialize into hires. Competitive promotion data include AFD information for vacancies posted for internal SEC-only and Merit Promotion consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. See Table A6.

*Gains, AFD for External Hiring: Accountants (0510)*

In FY 2019, the SEC received 194 applications through USAJOBS and made nine selections for accountant positions. Of the 119 applicants who self-identified their demographics, 66 (55.46%) were male and 53 (44.54%) were female. Of the nine selectees, two self-identified, one man and one woman.

*Progression, AFD for Internal Progression Competitive Promotion: Accountant (0510)*

The SEC received 18 applications for three accountant competitive promotions. Of the 18 applicants who self-identified, 15 qualified (eight men and seven women). Of the three individuals who received a competitive promotion, two were men, and one was a woman. Detailed demographics follow.

**Table 11: Accountant (0510) FY 2019 Applicant Flow Data: External Hiring and Internal Promotion**

Accountant (0510) Permanent Employees FY 2019	Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority	
				M	F	M	F	M	F	M	F	M	F		
<b>Applicant Flow Data: New Hires</b>															
Total Received	#	194													
Applied	#	119	66	53	10	5	19	13	25	20	12	13	0	2	87
	%	100	55.46	44.54	8.40	4.20	15.97	10.92	21.01	16.81	10.08	10.92	0.00	1.68	73.11
Qualified	#	56	32	24	3	1	11	5	13	10	5	6	0	2	40
	%	100	57.14	42.86	5.36	1.79	19.64	8.93	23.21	17.86	8.93	10.71	0.00	3.57	71.43
Referred	#	32	21	11	1	0	7	3	9	6	4	2	0	0	22
	%	100	65.63	34.38	3.13	0.00	21.88	9.38	28.13	18.75	12.50	6.25	0.00	0.00	68.75
Selected	#	2	1	1	0	0	1	1	0	0	0	0	0	0	0
	%	100	50.00	50.00	0.00	0.00	50.00	50.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Internal Competitive Promotion</b>															
<b>RAP</b>	%	100	55.95	44.05	3.33	2.82	43.15	27.40	3.97	5.51	5.38	7.81	0.13	0.51	29.45
Total Received	#	18													
Applied	#	18	10	8	0	0	9	5	0	3	1	0	0	0	4
	%	100	55.56	44.44	0.00	0.00	50.00	27.78	0.00	16.67	5.56	0.00	0.00	0.00	22.22
Qualified	#	15	8	7	0	0	7	5	0	2	1	0	0	0	3
	%	100	53.33	46.67	0.00	0.00	46.67	33.33	0.00	13.33	6.67	0.00	0.00	0.00	20.00
Referred	#	3	2	1	0	0	2	1	0	0	0	0	0	0	0
	%	100	66.67	33.33	0.00	0.00	66.67	33.33	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Selected	#	3	2	1	0	0	2	1	0	0	0	0	0	0	0
	%	100	66.67	33.33	0.00	0.00	66.67	33.33	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: This table includes the total number of applications received, and aggregated counts and percentages at the four distinct stages of the selection process for all applicants who self-identified their ethnicity/race and gender. All percentages are calculated based on the total within the row. The All Other column includes the following race groups: American Indian/Alaska Native, Native Hawaiian/Pacific Islander, and Two or More; none of these groups individually represent at least two percent of the total. See Table A6.

### Securities Compliance Examiners

The current status and gains through competitive promotion and external hiring of securities compliance examiners is presented in the table below. In FY 2019, among the 326 securities compliance examiners there were 214 (65.64%) men, 112 (34.36%) women, and 112 (34.36%) minority group members. The Agency hired two securities compliance examiners (one man and one woman) and promoted three, all of whom were women.

#### *Gains, AFD for External Hiring: Securities Compliance Examiners (1831)*

In FY 2019, the SEC received 103 applications on USAJOBS and made no selections for securities compliance examiner positions. Thirty-seven applicants voluntarily self-identified their demographics. Of the 37 who self-identified, 28 (75.68%) were men, and nine (24.32%) were women. See Table A6.

**Table 12: Securities Compliance Examiner (1831) FY 2019 MCO Workforce Compared to the (OCLF)**

Securities Compliance Examiner (1831) Permanent Employees FY 2019		Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority
					M	F	M	F	M	F	M	F	M	F	
2010 OCLF	%	100	54.75	45.25	3.06	3.65	44.11	28.34	3.57	8.71	3.69	3.96	0.00	0.01	26.65
Current Status: MCO Workforce	#	326	214	112	18	4	153	61	11	18	30	27	2	2	112
	%	100	65.64	34.36	5.52	1.23	46.93	18.71	3.37	5.52	9.20	8.28	0.61	0.61	34.36
Gains: New Hires	#	2	1	1	0	0	1	0	0	0	0	1	0	0	1
	%	100	50.00	50.00	0.00	0.00	50.00	0.00	0.00	0.00	0.00	50.00	0.00	0.00	50.00
Progression: Competitive Promotion	#	3	0	3	0	1	0	2	0	0	0	0	0	0	1
	%	100	0.00	100.00	0.00	33.33	0.00	66.67	0.00	0.00	0.00	0.00	0.00	0.00	33.33

Note: Within each row, # shows the count of employees and % the participation rate. New hires may not equal selections because onboarding of selections made in the prior fiscal year can occur in the current fiscal year, and selections may not materialize into hires. Competitive promotion data include AFD information for vacancies posted for internal SEC-only and Merit Promotion consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. See Table A6.

#### *Progression, AFD for Internal Competitive Promotion: Securities Compliance Examiner (1831)*

The SEC received 21 applications for three securities compliance examiner promotions. Of the 21 applicants who self-identified (13 from men and 8 from women), 18 qualified (eleven men and seven women). Of the three tentatively selected applicants, one was a Hispanic or Latino woman, and two were White women. The following table reflects the demographic breakdown.

**Table 13: Securities Compliance Examiner (1831) FY 2019 Applicant Flow Data: External Hiring and Internal Promotion**

Securities Compliance Examiner (1831) Permanent Employees FY 2019	Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority	
				M	F	M	F	M	F	M	F	M	F		
<b>Applicant Flow Data: New Hires</b>															
Total	#	103													
Applied	#	37	28	9	3	1	17	5	3	2	5	1	0	0	15
	%	100	75.68	24.32	8.11	2.70	45.95	13.51	8.11	5.41	13.51	2.70	0.00	0.00	40.54
Qualified	#	34	27	7	2	0	17	5	3	1	5	1	0	0	12
	%	100	79.41	20.59	5.88	0.00	50.00	14.71	8.82	2.94	14.71	2.94	0.00	0.00	35.29
Referred	#	5	3	2	1	0	2	2	0	0	0	0	0	0	1
	%	100	60.00	40.00	20.00	0.00	40.00	40.00	0.00	0.00	0.00	0.00	0.00	0.00	20.00
Selected	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Internal Competitive Promotion</b>															
<b>RAP</b>	%	100	62.73	37.27	5.28	1.24	44.10	18.63	3.73	9.32	9.01	7.76	0.62	0.31	37.27
Applied	#	21	13	8	2	1	11	3	0	0	0	4	0	0	7
	%	100	61.90	38.10	9.52	4.76	52.38	14.29	0.00	0.00	0.00	19.05	0.00	0.00	33.33
Qualified	#	18	11	7	1	1	10	2	0	0	0	4	0	0	6
	%	100	61.11	38.89	5.56	5.56	55.56	11.11	0.00	0.00	0.00	22.22	0.00	0.00	33.33
Referred	#	3	0	3	0	1	0	2	0	0	0	0	0	0	1
	%	100	0.00	100.00	0.00	33.33	0.00	66.67	0.00	0.00	0.00	0.00	0.00	0.00	33.33
Selected	#	3	0	3	0	1	0	2	0	0	0	0	0	0	1
	%	100	0.00	100.00	0.00	33.33	0.00	66.67	0.00	0.00	0.00	0.00	0.00	0.00	33.33

Note: This table includes the total number of applications received, and aggregated counts and percentages at the four distinct stages of the selection process for all applicants who self-identified their ethnicity/race and gender. All percentages are calculated based on the total within the row. The All Other column includes the following race groups: American Indian/Alaska Native, Native Hawaiian/Pacific Islander, and Two or More; none of these groups individually represent at least two percent of the total. See Table A6.

### Information Technology Management

The current status, gains through external hiring, and competitive promotion of information technology (IT) management employees is presented in the table below. In FY 2019, among the 284 IT management specialists there were 206 (72.54%) men, 78 (27.46%) women, and 160 (56.34%) minority group members. The Agency hired eight employees in IT management and promoted nine.

**Table 14: Information Technology Management (2210) FY 2019 MCO Workforce Compared to the (OCLF)**

IT Management (2210) Permanent Employees FY 2019		Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority
					M	F	M	F	M	F	M	F	M	F	
<b>2010 OCLF</b>	%	100	70.36	29.64	5.39	2.17	52.21	20.89	6.61	4.50	5.14	1.55	0.01	0.01	25.38
Current Status: MCO Workforce	#	284	206	78	16	3	99	25	29	34	56	16	6	0	160
	%	100	72.54	27.46	5.63	1.06	34.86	8.80	10.21	11.97	19.72	5.63	2.11	0.00	56.34
Gains: New Hires	#	8	5	3	0	0	3	1	1	1	1	1	0	0	4
	%	100	62.50	37.50	0.00	0.00	37.50	12.50	12.50	12.50	12.50	12.50	0.00	0.00	50.00
Progression: Competitive Promotion	#	9	6	3	0	0	2	0	0	0	4	3	0	0	7
	%	100	66.67	33.33	0.00	0.00	22.22	0.00	0.00	0.00	44.44	33.33	0.00	0.00	77.78

Note: Within each row, # shows the count of employees and % the participation rate. New hires may not equal selections because onboarding of selections made in the prior fiscal year can occur in the current fiscal year, and selections may not materialize into hires. Competitive promotion data include AFD information for vacancies posted for internal SEC-only and Merit Promotion consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. See Table A6.

*Gains, AFD for External Hiring: Information Technology Management (2210)*

In FY 2019, the SEC received 1,765 applications through USAJOBS and made six selections for information technology management positions. Of the 1,765 applicants, 1,307 voluntarily self-identified their diversity demographics. Of those applicants who self-identified, 78.88% were men and 21.12% were women. Four selected applicants identified as male (two White, one Black or African American, and one Asian), and two identified as female (one White and one Black or African American).

*Progression, AFD for Competitive Promotion: Information Technology Management (2210)*

The SEC received 742 applications, among whom 587 self-identified (462 males and 125 females) for nine information technology management promotions. Of the 587 applicants, 136 qualified (106 males and 30 females). Of the nine tentatively selected, six were men (66.67%; four Asian and two White) and three were women (33.33%, all Asian). The following table reflects the demographic breakdown:

**Table 15: Information Technology Management (2210) FY 2019 Applicant Flow Data: External Hiring and Internal Promotion**

IT Management (2210) Permanent Employees FY 2019	Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority	
				M	F	M	F	M	F	M	F	M	F		
<b>Applicant Flow Data: New Hires</b>															
Total Received	#	1,765													
Applied	#	1,307	1,031	276	110	30	290	54	323	142	291	46	17	4	963
	%	100	78.88	21.12	8.42	2.30	22.19	4.13	24.71	10.86	22.26	3.52	1.30	0.31	73.68
Qualified	#	1,220	971	249	104	28	272	49	300	129	280	39	15	4	899
	%	100	79.59	20.41	8.52	2.30	22.30	4.02	24.59	10.57	22.95	3.20	1.23	0.33	73.69
Referred	#	60	47	13	4	3	17	2	12	8	14	0	0	0	41
	%	100	78.33	21.67	6.67	5.00	28.33	3.33	20.00	13.33	23.33	0.00	0.00	0.00	68.33
Selected	#	6	4	2	0	0	2	1	1	1	1	0	0	0	3
	%	100	66.67	33.33	0.00	0.00	33.33	16.67	16.67	16.67	16.67	0.00	0.00	0.00	50.00
<b>Internal Competitive Promotion</b>															
<b>RAP</b>	%	100	72.12	27.88	5.95	1.12	33.09	8.55	10.41	12.27	20.45	5.95	2.23	0.00	58.36
Total Received	#	742													
Applied	#	587	462	125	39	12	138	24	112	43	167	41	6	5	425
	%	100	78.71	21.29	6.64	2.04	23.51	4.09	19.08	7.33	28.45	6.98	1.02	0.85	72.40
Qualified	#	136	106	30	6	1	36	3	13	12	51	14	0	0	97
	%	100	77.94	22.06	4.41	0.74	26.47	2.21	9.56	8.82	37.50	10.29	0.00	0.00	71.32
Referred	#	67	54	13	2	1	15	1	8	3	29	8	0	0	51
	%	100	80.60	19.40	2.99	1.49	22.39	1.49	11.94	4.48	43.28	11.94	0.00	0.00	76.12
Selected	#	9	6	3	0	0	2	0	0	0	4	3	0	0	7
	%	100	66.67	33.33	0.00	0.00	22.22	0.00	0.00	0.00	44.44	33.33	0.00	0.00	77.78

Note: This table includes the total number of applications received, and aggregated counts and percentages at the four distinct stages of the selection process for all applicants who self-identified their ethnicity/race and gender. All percentages are calculated based on the total within the row. The All Other column includes the following race groups: American Indian/Alaska Native, Native Hawaiian/Pacific Islander, and Two or More; none of these groups individually represent at least two percent of the total. See Table A6.

## Economists

The current status of economists is presented in the table below. In FY 2019, among the 84 economists, there were 62 (73.81%) men, 22 (26.19%) women, and 28 (33.33%) minority group members. The Agency neither hired nor promoted employees in the permanent staff economist ranks during the reporting period.

**Table 16: Economist (0110) FY 2019 MCO Workforce Compared to the (OCLF)**

Economist (0110) Permanent Employees FY 2019		Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority
					M	F	M	F	M	F	M	F	M	F	All
<b>2010 OCLF</b>	%	100	67.07	32.93	3.34	1.85	55.79	25.20	2.84	2.66	4.46	3.02	0.01	0.00	18.17
Current Status: MCO Workforce	#	84	62	22	2	3	45	11	4	0	9	8	2	0	28
	%	100	73.81	26.19	2.38	3.57	53.57	13.10	4.76	0.00	10.71	9.52	2.38	0.00	33.33
Gains: New Hires	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Progression: Competitive Promotion	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Note: Within each row, # shows the count of employees and % the participation rate. New hires may not equal selections because onboarding of selections made in the prior fiscal year can occur in the current fiscal year, and selections may not materialize into hires. Competitive promotion data include AFD information for vacancies posted for internal SEC-only and Merit Promotion consideration following EEOC instruction. Other methods of progressing to higher-graded positions are not presented. See Table A6.

### Detailed Workforce Analysis for Attorneys and Accountants

Accountants and attorneys comprised 61.95% of the SEC's total permanent workforce. Male and female SEC accountants and attorneys participated at levels above their benchmark in their respective occupations in the civilian labor force, or Occupational CLF (OCLF), except for the demographic groups of female accountants and male attorneys as shown in bold font in the table below.

Within the female accountant and male attorney groups, the participation rates of both White male attorneys and White female accountants at the end of FY 2019 are below their OCLF as further described below.

White female accountants' participation rate at the SEC (27.19%) is below the OCLF for White female accountants of 44.23%. This result follows the same pattern as the overall participation rate of female accountants at the SEC (43.03%) compared to the OCLF for female accountants of 60.09%. This difference is under investigation as part of the Agency's barrier analysis program.

**Table 17: Summary of the SEC's Attorney and Accountant Occupations: Participation by Sex**

Job Title		Total	Male	Female	White	
					Male	Female
Attorneys	#	1,797	988	809	808	582
	%	100%	54.98%	45.02%	44.96%	32.39%
OCLF		100%	66.70%	33.30%	59.68%	26.68%
Accountants	#	846	482	364	374	230
	%	100%	56.97%	43.03%	44.21%	27.19%
OCLF		100%	39.91%	60.09%	31.79%	44.23%

See Table A6.

The participation rate for White male attorneys at the SEC (44.96%) is below the OCLF for White male attorneys of 59.68%. Similar to the White female accountants, the difference for White male attorney participation mirrors the difference for the overall participation rate for male attorneys at the SEC (54.98%) compared to the OCLF for male attorneys of 66.70%. These numbers are under study as part of the Agency's barrier analysis program.

#### *Senior Grade Levels from SK-13 to Senior Officer*

The SEC conducts analysis on the participation of men, women, and minority group employees at various grade levels to understand equality of employment opportunity in the Agency's career progression. Specifically, the SEC reviewed the participation of men, women, and minority group members within the Agency's grade levels equivalent to the senior grades in the General Schedule and Senior Executive Service.<sup>31</sup> The current status, gains through external hiring, and internal competitive promotion in senior grade levels is presented in the table below. This section describes the results of those analyses by ethnicity/race and gender. Analysis of career progression for persons with disabilities is described in Part J of this report, *infra*.

<sup>31</sup> The SEC crosswalks the Agency's alternative pay plan's senior grade levels to the General Schedule according to the following equivalencies: SES = SO and EX; GS-15 = SK-15, SK-17, AL-02, and AL-01; GS-14 = SK-14, SK-16, and AL-03; GS-13 = SK-13.

To evaluate equality of employment opportunity for the current status and internal competitive promotion into senior grades at the SEC, unlike what was done for current status of the total workforce and for each MCO, comparisons are made to the composition of the SEC's overall workforce. In particular, EEOC instructs that agencies consider two comparators when evaluating participation in and promotional opportunity to their senior graded or supervisory and management workforce, the Relevant Applicant Pool<sup>32</sup> and the Upward Mobility Benchmark.<sup>33</sup> Inclusion rates are considered for these populations to assess whether employee groups are distributed in senior graded and leadership level positions at rates similar to the overall population.

A summary of the table below shows that among senior grades as a whole,<sup>34</sup> 43.00% of the positions are held by women and 57.00% by men. In comparison, the workforce comprising the Upward Mobility Benchmark is 44.69% women and 55.31% men. Minority group members hold 31.10% of positions in senior grades as compared to 33.01% of employees participating in the Upward Mobility Benchmark. Additional detail comparing the workforce composition of senior graded and leadership positions is found in the next section.

As was true for MCO positions, review of AFD for senior graded and leadership level positions helps uncover the Agency's success in attracting, recruiting, and hiring talent. The following table summarizes AFD for external hiring and internal promotion aggregated across all senior graded positions. Data are presented on the ethnicity/race and gender of the applications submitted by, deemed minimally qualified for, referred for consideration, and tentatively selected for senior grade level positions. Detailed results for each GS equivalent senior grade level is found in table A7.

#### *Gains, AFD for External Hiring: Senior Graded Positions*

In FY 2019, the SEC received 4,494 applications through USAJOBS and made 25 selections for the senior graded positions. Of the 2,953 applicants who self-identified, their diversity demographics were 67.83% men and 32.17% women. Across the hiring phases, women's participation among qualified and referred remained similar to their participation in the applicant pool. However, a larger proportion of women were selected for senior grade level positions than expected compared to their rate of qualification. Among the 25 self-identified external applicants who were eventually selected, 12 (48.00%) were men and 13 (52.00%) were women (10 White, and three Black or African American).

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<sup>32</sup> Note that *Relevant Applicant Pool* includes all employees eligible to apply for a particular senior grade level or in the next section to a particular leadership level. Eligible applicants, who do apply for a specific position, must meet all minimum qualifications for consideration. Those applicants minimally qualified for consideration are included in the *Qualified Applicant Pool (QAP)* in tables showing AFD. We note that the RAPs for the SK grade equivalencies of the GS-14 and GS-15 levels combine data across two SK-grade levels. This combination was made to conform analyses to the format provided, though the actual RAPs for the individual SK-levels differ.

<sup>33</sup> The Upward Mobility Benchmark for Senior Grade Levels includes all employees serving in those occupations for which the agency has established career paths to senior grades. For the senior grade levels, the Upward Mobility Benchmark includes occupations held by at least 1% of all employees and where at least 25% of the occupation's incumbents hold a senior grade position (SK-15 or higher) or for which at least 2% of internal promotions were made to senior grades in the past five years. There are 11 occupations so defined, all five MCOs, and the following six occupations: 0201 Human Resources Management; 0301 Miscellaneous Administration & Program; 0340 Program Management; 0343 Management Program Analysis; 1102 Contracting; and 1160 Financial Analysis.

<sup>34</sup> In this summary analysis, data were collapsed across levels to provide an overall picture. Refer to *Table A7* for detail about each GS equivalent senior grade level.

**Table 18: Senior Grade Level FY 2019 Participation by Ethnicity/Race and Gender**

SEC FY 2019 SK-Level		Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority
					M	F	M	F	M	F	M	F	M	F	All
Upward Mobility: Senior Grades	%	100	55.31	44.69	3.14	2.39	41.06	25.93	4.30	9.42	6.41	6.35	0.41	0.59	33.01
Total Senior Grades	#	3,881	2,212	1,669	129	84	1,642	1,032	164	286	261	248	16	19	1,207
	%	100	57.00	43.00	3.32	2.16	42.31	26.59	4.23	7.37	6.73	6.39	0.41	0.49	31.10
<b>Senior Officers: SES Equivalent</b>															
RAP		100	58.12	41.88	3.28	2.23	43.99	27.04	3.72	5.66	6.83	6.48	0.29	0.47	28.97
Current Status	#	121	71	50	2	0	63	41	4	4	2	3	0	2	17
	%	100	58.68	41.32	1.65	0.00	52.07	33.88	3.31	3.31	1.65	2.48	0.00	1.65	14.05
Gains: New Hire	#	3	1	2	0	0	1	2	0	0	0	0	0	0	0
	%	100	33.33	66.67	0.00	0.00	33.33	66.67	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Progression: Competitive Promotion	#	8	4	4	0	0	4	3	0	0	0	0	0	1	1
	%	100	50.00	50.00	0.00	0.00	50.00	37.50	0.00	0.00	0.00	0.00	0.00	12.50	12.50
<b>GS-15 Equivalent</b>															
RAP		100	57.60	42.40	3.18	2.45	43.13	26.93	3.91	5.80	7.09	6.72	0.30	0.50	29.94
Current Status	#	750	476	274	33	9	366	187	24	42	51	35	2	1	197
	%	100	63.47	36.53	4.40	1.20	48.80	24.93	3.20	5.60	6.80	4.67	0.27	0.13	26.27
Gains: New Hire	#	6	2	4	1	0	1	4	0	0	0	0	0	0	1
	%	100	33.33	66.67	16.67	0.00	16.67	66.67	0.00	0.00	0.00	0.00	0.00	0.00	16.67
Progression: Competitive Promotion	#	30	14	16	1	1	10	10	1	3	2	2	0	0	10
	%	100	46.67	53.33	3.33	3.33	33.33	33.33	3.33	10.00	6.67	6.67	0.00	0.00	33.33
<b>GS-14 Equivalent</b>															
RAP		100	55.50	44.50	3.57	2.70	39.52	25.68	4.77	8.69	7.18	7.04	0.46	0.39	34.79
Current Status	#	2,660	1,506	1,154	79	67	1,134	735	103	151	182	186	8	15	791
	%	100	56.62	43.38	2.97	2.52	42.63	27.63	3.87	5.68	6.84	6.99	0.30	0.56	29.74
Gains: New Hire	#	21	11	10	2	0	8	6	0	2	1	2	0	0	7
	%	100	52.38	47.62	9.52	0.00	38.10	28.57	0.00	9.52	4.76	9.52	0.00	0.00	33.33
Progression: Competitive Promotion	#	34	24	10	0	1	14	5	1	2	9	2	0	0	15
	%	100	70.59	29.41	0.00	2.94	41.18	14.71	2.94	5.88	26.47	5.88	0.00	0.00	44.12
<b>GS-13 Equivalent</b>															
RAP		100	23.16	76.84	0.00	4.21	7.89	19.47	13.16	46.84	1.58	4.74	0.53	1.58	72.63
Current Status	#	350	159	191	15	8	79	69	33	89	26	24	6	1	202
	%	100	45.43	54.57	4.29	2.29	22.57	19.71	9.43	25.43	7.43	6.86	1.71	0.29	57.71
Gains: New Hire	#	18	7	11	1	0	4	5	1	2	1	4	0	0	9
	%	100	38.89	61.11	5.56	0.00	22.22	27.78	5.56	11.11	5.56	22.22	0.00	0.00	50.00
Progression: Competitive Promotion	#	8	1	7	0	2	1	3	0	0	0	2	0	0	4
	%	100	12.50	87.50	0.00	25.00	12.50	37.50	0.00	0.00	0.00	25.00	0.00	0.00	50.00

Note: Within each row, # shows the count of employees and % the participation rate. RAP = Relevant Applicant Pool. New hires may not equal selections because onboarding of selections made in the prior fiscal year can occur in the current year, and selections may not materialize into hires. AFD information for vacancies posted for internal SEC-only and Merit Promotion consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. See Table A7.

The participation of minority group members, contrary to what was true for women, declined across the hiring phases. Minority group members represented 62.89% of the self-identified external applicants and 32.00% of selected candidates.

*Progression, AFD for Internal Competitive Promotion: Senior Grade Promotions*

The SEC received 3,605 applications for 80 senior grade level promotions. Among the applicants, 2,744 self-identified (59.26% men and 40.74% women). Among the 1,544 qualified applicants, 450 (29.15%) White men qualified and 29 were tentatively selected (36.25% of applicants tentatively selected). Similar to what we found for external hiring, among competitive promotions, female participation increased across the hiring phases. Women represent 40.74% of the 2,744 self-identified applicants, 42.55% of the qualified applicant pool, 43.61% of referred applicants, and 46.25% (37) of the 80 candidates selected for promotion.

On the other hand, similar to what we saw for external hiring, 62.17% of self-identified internal competitive promotion applicants were minority group members. Their participation remained high in the qualified applicant pool (57.19%) and referred applicant pool (62.21%), yet 37.50% (30) of the candidates tentatively selected for promotion were minority group members.

Table 19 below reflects the demographic breakdown.

*Supervisors, Managers, and Executives*

In light of the critical importance of leadership to the Agency and to the workplace experience for employees across the organization, the following provides analysis of the workforce in SEC's leadership ranks, including evaluation of equal employment opportunity for career mobility among ethnic/racial and gender groups. The current status, gains through external hiring, and competitive promotion in three leadership levels<sup>35</sup> for supervisor, manager, and executive is presented in the table below. This section summarizes results from those analyses.

To understand these data, reviews of the relevant applicant pools or feeder positions and upward mobility benchmarks are made. As mentioned above, EEOC instructs agencies to consider two metrics when evaluating their supervisory and management workforce, the Relevant Applicant Pool and the Leadership Upward Mobility Benchmark. The SEC offers the opportunity for employees in any occupation to be promoted to the first level supervisor, the SK-17 manager level, or the Senior Officer executive level. The chart below graphically presents the relevant applicant pool composition<sup>36</sup> for each leadership level. This chart shows that, at the SEC, the eligible RAP gets larger at higher levels of leadership.

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<sup>35</sup> The SEC cross-walked the Agency's alternative pay plan supervisory levels to the Executive, Manager, and Supervisor levels according to the following equivalencies: Executives = SO; Managers = SK-17 and the supervisory Administrative Law Judges in pay plan Administrative Law (AL); and Supervisors = employees or positions at SK-levels below SK-17 who hold supervisory status. We previously provided a discussion on this – see Footnote 31.

<sup>36</sup> The RAP for supervisory and management positions include any eligible SK-14 through SK-17 employee. The RAP pool for: first level supervisor is the SK-14 level; manager is the SK-14 through SK-16 levels; and the SO is the SK-14 through SK-17 levels. We note that, similar to the senior grade level equivalencies, the relevant applicant pools for supervisory levels at the Agency combine data across multiple SK levels. This combination was made to conform analyses to the format provided, though the actual RAPs for the specific leadership levels differ.

**Table 19: Senior Graded (GS-13, GS-14, GS-15 Equivalent) FY 2019 Applicant Flow Data: External Hiring and Internal Promotion**

Total Senior Graded Permanent Employees FY 2019	Total	M	F	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority	
				M	F	M	F	M	F	M	F	M	F		
<b>Gains: External Applicant Flow Data – New Hires</b>															
Total Received	#	4,494													
Applied	#	2,953	2,003	950	261	103	812	284	492	413	402	137	36	13	1,857
	%	100	67.83	32.17	8.84	3.49	27.50	9.62	16.66	13.99	13.61	4.64	1.22	0.44	62.89
Qualified	#	2,533	1,762	771	226	79	720	246	427	333	363	102	26	11	1,567
	%	100	69.56	30.44	8.92	3.12	28.42	9.71	16.86	13.15	14.33	4.03	1.03	0.43	61.86
Referred	#	269	180	89	15	4	106	45	29	26	29	14	1	0	118
	%	100	66.91	33.09	5.58	1.49	39.41	16.73	10.78	9.67	10.78	5.20	0.37	0.00	43.87
Selected	#	25	12	13	2	0	7	10	1	3	2	0	0	0	8
	%	100	48.00	52.00	8.00	0.00	28.00	40.00	4.00	12.00	8.00	0.00	0.00	0.00	32.00
<b>Progression: Internal Competitive Promotion</b>															
Total Received	#	3,605													
Applied	#	2,744	1,626	1,118	156	107	715	323	426	516	302	132	27	40	1,706
	%	100	59.26	40.74	5.69	3.90	26.06	11.77	15.52	18.80	11.01	4.81	0.98	1.46	62.17
Qualified	#	1,544	887	657	82	62	450	211	208	290	136	72	11	22	883
	%	100	57.45	42.55	5.31	4.02	29.15	13.67	13.47	18.78	8.81	4.66	0.71	1.42	57.19
Referred	#	1,048	591	457	62	43	262	134	173	222	85	41	9	17	652
	%	100	56.39	43.61	5.92	4.10	25.00	12.79	16.51	21.18	8.11	3.91	0.86	1.62	62.21
Selected	#	80	43	37	1	4	29	21	2	5	11	6	0	1	30
	%	100	53.75	46.25	1.25	5.00	36.25	26.25	2.50	6.25	13.75	7.50	0.00	1.25	37.50

Note: This table includes the total number of applications received, and aggregated counts and percentages at the four distinct stages of the selection process for all applicants who self-identified their ethnicity/race and gender. All percentages are calculated based on the total within the row. The All Other column includes the following race groups: American Indian/Alaska Native, Native Hawaiian/Pacific Islander, and Two or More; none of these groups individually represent at least two percent of the total See Table A7.

**Table 20: Relevant Applicant Pools – Eligible to Apply for Each Leadership Level**

SK-Levels	Relevant Applicant Pools for Each Leadership Level		
SK-17	Senior Officer	Manager (SK-17)	
SK-16			
SK-15			
SK-14			First Level Supervisor (SK-15)

The Leadership Upward Mobility Benchmark<sup>37</sup> provides a useful comparison for the demographic composition of leadership because that benchmark includes those occupations where a career path to leadership is established. The Leadership Upward Mobility Benchmark includes all employees serving in occupations for which the Agency has established career paths to the SO ranks, without regard to SK-level. It includes only employees within occupations held by at least 2% of SOs. The chart below shows the composition of the Leadership Upward Mobility Benchmark.

**Table 21: Occupations within the Leadership Upward Mobility Benchmark**

Within Leadership Upward Mobility Benchmark	Not Within Upward Mobility Benchmark
Occupations with 2% or more Senior Officers	Less than 2% Senior Officers
Attorney (0905)	<b>All Other Occupations</b>
Accountant (0510)	
Securities Compliance Examiner (1831)	
IT Management (2210)	
Economist (0110)	
Miscellaneous Administration & Program (0301)	
Program Management (0340)	

The table below provides selected workforce analysis for supervisor, manager, and executive positions by ethnicity/race and gender. Similar to the data presented for each MCO, at each leadership level, data include the current status as of the end of the fiscal year, gains through external hiring, and progression through internal competitive promotion during the reporting period. Analysis of career progression to leadership for persons with disabilities is described in Part J of this report, *infra*.

A summary of the table below shows that among supervisory and managerial levels as a whole<sup>38</sup> 38.17% positions are held by women and 61.83% by men. In comparison, the workforce comprising the Leadership Upward Mobility Benchmark is 43.56% women and 56.44% men. Minority group members hold 25.52% of positions in leadership as compared to 30.97% of employees participating in the Leadership Upward Mobility Benchmark. Additional detail comparing the workforce composition of senior graded and leadership positions is found on page 69.

<sup>37</sup> The Upward Mobility Benchmark for leadership levels includes all employees serving in those occupations for which the agency has established career paths to SO executive ranks. The Leadership Upward Mobility Benchmark includes occupations held by at least 2% of SOs. There are seven occupations so defined, all five MCOs, 0301 Miscellaneous Administration & Program; and 0340 Program Management.

<sup>38</sup> In this summary analysis, data were collapsed across levels to provide an overall picture. Refer to Table A7-1 for detail about each GS equivalent senior grade level.

**Table 22: Leadership FY 2019 Workforce Analysis**

SEC FY 2019 Leadership	Total	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority			
		M	F	M	F	M	F	M	F	M	F	M	F	All	
Upward Mobility: Leadership	%	100	56.44	43.56	3.17	2.28	42.48	26.55	4.11	7.78	6.28	6.45	0.39	0.50	30.97
<b>Total Leadership</b>															
RAP		100	63.73	36.27	5.95	3.22	31.62	12.28	14.14	14.88	11.47	5.02	0.56	0.87	56.11
Current Status	#	862	533	329	34	10	416	226	28	50	53	40	2	3	220
	%	100	61.83	38.17	3.94	1.16	48.26	26.22	3.25	5.80	6.15	4.64	0.23	0.35	25.52
Gains: New Hire	#	9	3	6	1	0	2	6	0	0	0	0	0	0	1
	%	100	33.33	66.67	11.11	0.00	22.22	66.67	0.00	0.00	0.00	0.00	0.00	0.00	11.11
Progression: Competitive Promotion	#	72	41	31	1	2	28	20	2	4	10	4	0	1	24
	%	100	56.94	43.06	1.39	2.78	38.89	27.78	2.78	5.56	13.89	5.56	0.00	1.39	33.33
<b>Executive</b>															
RAP		100	61.95	38.05	4.11	0.51	50.39	28.02	2.31	4.63	4.88	4.63	0.26	0.26	21.59
Current Status	#	121	71	50	2	0	63	41	4	4	2	3	0	2	17
	%	100	58.68	41.32	1.65	0.00	52.07	33.88	3.31	3.31	1.65	2.48	0.00	1.65	14.05
Gains: New Hire	#	3	1	2	0	0	1	2	0	0	0	0	0	0	0
	%	100	33.33	66.67	0.00	0.00	33.33	66.67	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Progression: Competitive Promotion	#	8	4	4	0	0	4	3	0	0	0	0	0	1	1
	%	100	50.00	50.00	0.00	0.00	50.00	37.50	0.00	0.00	0.00	0.00	0.00	12.50	0.00
<b>Manager</b>															
RAP		100	63.14	36.86	4.57	2.29	44.86	21.71	4.29	7.43	9.14	5.43	0.29	0.00	33.43
Current Status	#	389	241	148	16	2	196	109	9	18	19	18	1	1	84
	%	100	61.95	38.05	4.11	0.51	50.39	28.02	2.31	4.63	4.88	4.63	0.26	0.26	21.59
Gains: New Hire	#	3	0	3	0	0	0	3	0	0	0	0	0	0	0
	%	100	0.00	100.00	0.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Progression: Competitive Promotion	#	17	9	8	0	0	7	5	0	1	2	2	0	0	5
	%	100	52.94	47.06	0.00	0.00	41.18	29.41	0.00	5.88	11.76	11.76	0.00	0.00	29.41
<b>Supervisor</b>															
RAP		100	51.96	48.04	3.17	2.91	36.31	25.77	5.44	11.66	6.55	11.76	0.48	0.52	42.49
Current Status	#	352	221	131	16	8	157	76	15	28	32	19	1	0	119
	%	100	62.78	37.22	4.55	2.27	44.60	21.59	4.26	7.95	9.09	5.40	0.28	0.00	33.81
Gains: New Hire	#	3	0	3	0	0	0	3	0	0	0	0	0	0	0
	%	100	0.00	100.00	0.00	0.00	0.00	100.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Progression: Competitive Promotion	#	47	28	19	1	2	17	12	2	3	8	2	0	0	18
	%	100	59.57	40.43	2.13	4.26	36.17	25.53	4.26	6.38	17.02	4.26	0.00	0.00	38.30

Note: Within each row, # shows the count of employees and % the participation rate. RAP = Relevant Applicant Pool. New hires may not equal selections because onboarding of selections made in the prior fiscal year can occur in the current fiscal year, and selections may not materialize into hires. AFD information for vacancies posted for internal SEC-only and Merit Promotion consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented. See Table A8.

### *Detailed Analysis of Current Status and Trends over Time in the SO ranks*

Due to its importance to Agency success, this section presents a more detailed analysis of the participation of women and minority employees in SO positions. The number of SOs at the SEC decreased from FY 2016 to the end of FY 2019. Meanwhile, the representation of women among SOs continued to trend upward. The participation of women among SOs was higher than the representation of women among Senior Executives in the Federal workforce. According to OPM's FedScope, in FY 2019, women made up 33.8% of Senior Executives in the Federal workforce, compared to 41.32% among the SEC's SO population.

As of the end of FY 2019, the proportion of minority SOs at the SEC remained below the FY 2019 participation rate of 21% among Senior Executive positions in the Federal workforce. Since FY 2016, the participation rate of minority employees among SOs increased from 13.38% to 14.05%. From FY 2016 to FY 2019, the number of permanent staff Black or African American SOs increased by one from seven to eight, while the numbers of Asian SOs, Hispanic or Latino SOs, and those in other race/ethnicity groups decreased by a total of three SOs.<sup>39</sup>

As was true for MCO positions, review of AFD for leadership levels helps explore the Agency's success in attracting, recruiting, and hiring talent in its leadership ranks. The following table summarizes AFD for external hiring and internal promotion across leadership positions at the executive, manager, and first level supervisory levels. Additional detail is found in table A8.

#### *Gains, AFD for External Hiring: Leadership Levels*

In FY 2019, the SEC received 679 applications through USAJOBS and made six selections for the supervisory positions across all levels. Of the 679 applications, 457 voluntarily self-identified their diversity demographics. Among them were 324 (70.90%) men and 133 (29.10%) women. Two men and four women were selected for managerial or supervisory positions (two White men, three White women, and one Black or African American woman). The table below provides the demographics of the individuals who applied and self-identified for leadership positions, those who qualified, and the applicants who were tentatively selected.

#### *Progression, AFD for Internal Competitive Promotion: Leadership Levels*

The SEC received 2,012 applications; 1,613 of which were self-identified (63.73% from men and 36.27% from women) for 72 supervisory or managerial tentative selections for promotion. As was shown in the senior grade level positions, women's participation among applicants who applied, qualified, referred and were selected for promotion progressively increased from 38.48% of the QAP from women to 43.06% of those tentatively selected for promotion. Minority group member participation among applications for promotion declined from 52.79% of the QAP to 33.33% of those tentatively selected for promotion; the steepest part of the decline was from the referred (59.36%) to selected (33.33%) stages. Table 23 reflects the demographic breakdown.

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<sup>39</sup> Although their overall numbers remained unchanged, Black or African American and Asian Senior Officers left the SEC and Black or African American and Asian Senior Officers were appointed during the three-year period. Additional information can be found in OMWI's Annual Report at <https://www.sec.gov/page/omwi-section-landing>.

*Additional Detail on the Workforce Analysis for Senior Leadership and Senior Grade-Level Positions*

The FY 2019 participation rates of men and women differ within and across the SEC’s supervisory and management ranks, with an unusual pattern shown in the first-level supervisor, as compared to the composition of the feeder or relevant applicant pool at lower SK-levels.

Specifically, women represent 43.38% (1,154 employees) and men represent 56.62% (1,506 employees) at the GS-14 equivalent level. However, among first level supervisors, men make up 62.78% (221 employees) and women comprise 37.22% (131 employees). Participation of women was lower in this first-level supervisor position than found in any other leadership level; there were almost twice as many male first-level supervisors as female.

By way of comparison, the participation rate of males is lower in higher leadership levels. At the highest individual contributor level, SK-16, there is greater female participation. Although SK-16 employees are usually not supervisors, they are eligible to apply for manager and executive, SO, positions. There were a total of 515 permanent SK-16 employees in FY 2019; men accounted for 60.97% (314) and women accounted for 39.03% (201) of this level’s workforce composition.

**Table 23: Supervisory and Management FY 2019 Applicant Flow Data: External Hiring and Internal Promotion**

FY 2019 Promotion Total	Total	Male	Female	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority	
				M	F	M	F	M	F	M	F	M	F		
<b>Applicant Flow Data: New Hires</b>															
Total Received	#	679													
Applied	#	457	324	133	34	7	152	45	77	49	59	30	2	2	260
	%	100	70.90	29.10	7.44	1.53	33.26	9.85	16.85	10.72	12.91	6.56	0.44	0.44	56.89
Qualified	#	336	246	90	27	2	27	38	53	28	48	20	2	2	182
	%	100	73.21	26.79	8.04	0.60	8.04	11.31	15.77	8.33	14.29	5.95	0.60	0.60	54.17
Referred	#	94	62	32	3	0	44	17	10	10	5	5	0	0	33
	%	100	65.96	34.04	3.19	0.00	46.81	18.09	10.64	10.64	5.32	5.32	0.00	0.00	35.11
Selected	#	6	2	4	0	0	2	3	0	1	0	0	0	0	1
	%	100	33.33	66.67	0.00	0.00	33.33	50.00	0.00	16.67	0.00	0.00	0.00	0.00	16.67
<b>Internal Competitive Promotion</b>															
Total Received	#	2,012													
Applied	#	1,613	1,028	585	96	52	510	198	228	240	185	81	9	14	905
	%	100	63.73	36.27	5.95	3.22	31.62	12.28	14.14	14.88	11.47	5.02	0.56	0.87	56.11
Qualified	#	1,076	662	414	62	34	357	151	133	173	104	46	6	10	568
	%	100	61.52	38.48	5.76	3.16	33.18	14.03	12.36	16.08	9.67	4.28	0.56	0.93	52.79
Referred	#	684	404	280	47	26	184	94	113	130	55	21	5	9	406
	%	100	59.06	40.94	6.87	3.80	26.90	13.74	16.52	19.01	8.04	3.07	0.73	1.32	59.36
Selected	#	72	41	31	1	2	28	20	2	4	10	4	0	1	24
	%	100	56.94	43.06	1.39	2.78	38.89	27.78	2.78	5.56	13.89	5.56	0.00	1.39	33.33

Note: This table includes the total number of applications received, and aggregated counts and percentages at the four distinct stages of the selection process for all applicants who self-identified their ethnicity/race and gender. All percentages are calculated based on the total within the row. The All Other column includes the following race groups: American Indian/Alaska Native, Native Hawaiian/Pacific Islander, and Two or More; none of these groups individually represent at least two percent of the total. See Table A7.

The participation rates of men and women at the manager level were distributed relatively similarly to the SK-16 employees. There were a total of 389 managers of whom 61.95% were men (241 employees) and 38.05% were women (148 employees).

Finally, within the total of 121 SOs, 58.68% are men (71 employees) and 41.32% are women (50 employees). *See Tables A8 and A4P.*

#### *Employee Recognition and Awards*

In addition to analyzing workforce statistics, the SEC analyzes data on the distribution of discretionary cash and time-off awards to understand equal employment opportunity based on race, ethnicity, sex, and disability in these programs. Data presented on the distribution of discretionary awards for this report has been refined to more closely examine discretionary awards of higher value. In the analysis below, data have been summarized to align with the SEC's Employee Recognition Program.

The SEC's Employee Recognition Program has defined two types of discretionary cash awards, *On the Spot Awards*, with a maximum limit of \$1,000, and *Special Act awards*, with an approval limit delegated to Division and Office leadership of \$2,500. Special Act awards between \$2,500 and \$10,000 require additional approval by the COO or the Chairman. Similarly, time-off awards of at least 40 hours are subject to that same additional approval. In FY 2019, no discretionary time-off awards greater than 40 hours were distributed.

In consideration of these process differences, data for discretionary cash and time off-awards in this section are summarized by collapsing across Table A9 categories. Data for two categories of time-off awards are described: up to 10 hours, and 11–40 hours. Cash awards are summarized in five categories: \$500 and under; \$501 – \$999; \$1,000 – \$1, 999; \$2,000 – \$2,999; and \$3,000 or more. For ease of interpretation, the summary level data are presented in this section in the table below by ethnicity/race and gender. Summary analysis of awards by disability status are presented in Part J, *infra*.

#### *Time-Off Awards Summary by Ethnicity/Race and Gender*

In reviewing the data on discretionary time-off awards, some general conclusions emerged. Men were less likely than women to receive a slightly lower value (less than 10 hours) time-off award (48.81% men versus 51.19% for women).

As was found in prior years, White women were more likely to receive both lower and higher value time-off awards (participation rates of 29.62% and 30.80% for lower and higher value time-off awards) than would be expected given their overall workforce participation (25.76%). Approximately 30% of time-off awards distributed in both value categories were given to White women, compared to their participation on rolls at 25.76%. Among women, Asian women were less likely to receive lower value time-off awards than expected (4.47% of awards were granted to Asian women whereas they represent 6.19% of the workforce).

**Table 24: Analysis of FY 2019 Employee Recognition and Awards**

Awards Distribution FY 2019		Total	Male	Female	Hispanic or Latino		White		Black or African American		Asian		All Other		Minority
					M	F	M	F	M	F	M	F	M	F	
<b>Time-Off Awards</b>															
Time-Off Awards: 10 hrs and Less	%	100	48.81	51.19	2.83	2.14	35.47	29.62	4.72	14.03	5.41	4.47	0.37	0.94	34.91
Time-Off Awards: 11 - 40 hrs	%	100	50.23	49.77	3.09	3.09	36.97	30.80	2.94	8.58	6.70	6.85	0.53	0.45	32.23
<b>Cash Awards</b>															
Cash Awards: \$500 and Less	%	100	45.84	54.16	2.04	4.82	32.55	22.77	7.15	21.02	3.36	4.53	0.73	1.03	44.68
Cash Awards \$501 - \$999	%	100	55.24	44.76	3.62	3.05	40.76	25.14	5.14	11.24	5.52	4.57	0.19	0.76	34.09
Cash Awards: \$1,000 - \$1,999	%	100	57.87	42.13	3.73	1.86	44.22	26.32	2.98	7.83	6.56	5.59	0.37	0.52	29.44
Cash Awards: \$2,000 - \$2,999	%	100	56.22	43.78	4.15	0.46	43.78	30.41	1.38	7.37	6.91	5.07	0.00	0.46	25.80
Cash Awards: \$3,000 or more	%	100	60.20	39.80	2.04	1.02	51.02	30.61	0.00	5.10	7.14	3.06	0.00	0.00	18.36
<b>Total Perm. Workforce</b>	%	4,266	2,294	1,972	133	110	1,674	1,099	204	473	266	264	17	26	1,493
	%	100	53.77	46.23	3.12	2.58	39.24	25.76	4.78	11.09	6.24	6.19	0.40	0.61	35.00

Note: All percentages are calculated based on the total awarded within the row, i.e., participation rates. The All Other column includes the following race groups: American Indian/Alaska Native, Native Hawaiian/Pacific Islander, and Two or More; none of these groups individually represent at least two percent of the total. See Table A9.

African American employees, both men and women, were less likely to receive a higher-value (11 to 40 hours) time-off award; they participated among higher value time-off award recipients at lower rates than their participation in the workforce (for African American men overall participation was 4.78%, higher value time-off awards was 2.94%; for African American women overall participation was 11.09%, larger time-off awards was 8.58%).

*Cash Awards Summary by Ethnicity/Race and Gender*

For discretionary cash awards, White men were more likely to be awarded than other groups in all cash values greater than \$500 (participation rates range from 40.76% to 51.02% compared to their overall workforce participation rate of 39.24%) and the most likely to receive the highest value (\$3,000 or more) cash awards.

Asian women were less likely to receive cash awards at any value; their greatest participation rate was 5.59% which is below their overall workforce participation rate of 6.19%. At the same time, Asian men’s participation among award recipients rose with increasing cash award value, from 3.36% to 7.14%.

Cash awards to African American men and women were concentrated at lower value levels (\$500.00 or less) and progressively decreased at each higher cash award value. For African American men, participation decreased from 7.15% for cash awards less than \$500 to 1.38% for cash award from \$2,000 to \$2,999 and 0.00% for cash awards more than \$3,000. African American women's participation decreased from 21.02% for cash awards less than \$500 to 7.37% for cash awards from \$2,000 to \$2,999 and 5.10% for cash awards more than \$3,000.

As mentioned elsewhere in this report, discretionary cash and time-off award was the focus of a barrier analysis study by OEEO over this reporting period. That analysis found that organizational characteristics, such as grade and occupational series, account for some of the disparities in discretionary award distribution. Part I of this report, *infra*, provides additional detail about the analysis and findings related to discretionary cash and time-off award distribution.

## SUMMARY OF EEO PLAN OBJECTIVES PLANNED TO ELIMINATE IDENTIFIED BARRIERS OR CORRECT PROGRAM DEFICIENCIES

### Accomplishments

The following provides an update and overview of activity completed by the SEC as part of its barrier analysis program and to correct previously identified program deficiencies.

#### *Action Plans Implemented*

Based on the analyses described above conducted as part of the Agency's Barrier Analysis program, OEEO worked with Agency leadership to define actions that will support equality of employment opportunity for female applicants to the Agency's MCO positions and the distribution of discretionary cash and time off awards. OEEO began capturing agreed upon action as the basis for monitoring and evaluation of actions taken in the near term and longer term improvement of metrics from workforce data. Near term action included such items as changes to vacancy postings for MCO positions or providing information to Division and Office leadership about their distribution of awards more regularly. Longer term, OEEO will continue to monitor workforce data on a regular basis, at least annually, as part of its affirmative employment program. Additional information about the actions agreed to is shared in Parts I of this report, *infra*.

In FY 2019, OEEO continued to advance its barrier analysis and reporting functions. OEEO expanded functionality in its automated tool that extracts, accurately codes, summarizes, and provides reporting on demographic information about employees and applicants for employment. This tool, called the Equal Employment Opportunity—Analytic Tool (EEO-AT), was used to generate the data for workforce data tables in this report as well as the responses to data-related questions in Part J, *infra*. The EEO-AT's flexible framework enabled both this year's reporting and more in-depth analysis that forms the basis for the barrier analysis work described above and in Parts I and J of this report, *infra*. Further, the EEO-AT's benefits include self-service functionality, effective interface with the EEOC's data portal FedSEP, and greater facility for OEEO to respond to anticipated and future changes. The additional work on EEO-AT required the re-allocation of substantial resources from OEEO's barrier analysis function in FY 2019. However, the investment made in the development of EEO-AT was required to prepare for changes in the MD-715 reporting framework, which is required as part of this FY 2019 report.

#### *Improving the Reasonable Accommodation Program*

As reported in the SEC's FY 2018 MD-715 Report, the SEC did not meet the goal of processing 90% of accommodation requests within the timeframe specified in the Agency's policy. A new policy and procedural guidance were approved by the EEOC in FY 2019, and in light of that approval, the RA electronic system requirements were also reviewed in FY 2019. The Agency engaged an acquisition to procure a new HR service delivery platform and will determine whether this platform is viable for automating RA requests and accommodations. System requirements analyses are expected to be completed in FY 2021 and full design and implementation of the system is expected in FY 2022. The implementation of the system is expected to simplify case tracking, help identify systemic delays, and improve customer service and address the timeliness standards set by the new SEC policy.

In the meantime, OHR identified opportunities to strengthen its manual tracking process. OHR tracks timeliness for processing RA requests and meets on a monthly basis with the CHCO to review and discuss timeliness and processing of all RA cases. The overall FY 2019 processing timeliness rate for RA and Temporary Medical Telework (TMT) programs was 74%. The SEC processed 54 RA requests for adjustable height tables (AHT) and met or exceeded processing timelines for 73% of those requests. Of the remaining 79 requests, the SEC met or exceeded timely processing standards for 57% of closed requests.

The timeframe for processing RA requests in FY 2019 was affected by a number of organizational and business process changes that resulted in a 15% decrease from the FY 2018 timeliness result of 72%. Specifically, in FY 2019, changes to the procurement process for the purchase and installation of equipment and assistive technology impacted the Agency's ability to provide accommodations timely. In addition, the SEC initiated frequent consultations with medical experts at the Federal Occupational and Health (FOH) to complete medical reviews of employees with a wide range of conditions in an effort to improve their ability to do their jobs and maintain a high level of productivity; in FY 2019, requests to FOH were processed in 37.8 days on average.

The SEC intends to replace the current resource guide, *Disability Accommodation Procedures*, with a new policy and operational procedure. This new guidance will be available to everyone involved in the accommodations process and will explain how persons with disabilities should request accommodations, how requests are processed, and, as applicable, how requestors may seek review of decisions where a request has been denied. The new policy and procedural guidance were approved by the EEOC in FY 2019. Updates were made to current RA procedures to align with recent updates made to the process and related program guidance, including requirements in EEOC's revision to Section 501 regulations under the Rehabilitation Act of 1973. The SEC is going through an internal review and intends to publish these documents, including a Section 508-compliant version, in FY 2020. Additional information about the status of this effort is provided in Parts H and J of this report, *infra*.

In addition, the SEC's TMT program provides temporary telework to employees with short-term medical conditions that may not constitute a covered disability under the Rehabilitation Act of 1973 when supervisory officials and the Disability Program Office determine that it is appropriate. In FY 2019, the Disability Program Office revised the TMT policy and operational procedures to clarify the process and guidelines and to comply with provisions set forth in the SEC 2018 Collective Bargaining Agreement (CBA) for the TMT program. OHR intends to publish the revised TMT policy and operational procedures in FY 2020. The SEC processed and closed 119 TMT requests and processed 91% of those requests timely.

Beyond TMT, the SEC also supports a robust telework program, and 95% of the workforce has an active telework agreement. Sixty-four percent of those agreements are for recurring telework schedules and 36% are ad-hoc telework agreements. The SEC provides equipment for teleworking individuals that meet certain criteria. The SEC continues to provide equipment for all employees who telework three or more days each week and, as needed, for employees with disabilities authorized to telework as a reasonable accommodation.

*Periodic Training for Supervisors and Hiring Officials Related to the Hiring, Promotion, and Reasonable Accommodation of Individuals with Disabilities*

The SEC currently provides training on the Disability Program to all new managers through the mandatory College of Leadership Development (LD 307) *Fundamentals of Human Resources (HR) Management* course offered by the Agency's learning office, SEC University. In FY 2019, the Disability Program Office revamped LD 307 training to ensure awareness of RA program process and related program guidance, and regulations under the Rehabilitation Act of 1973. In FY 2019, the SEC had four offerings with participation from managers throughout the SEC. This training includes both e-learning and virtual learning and contains case studies to help managers across the SEC apply the information obtained during the training. Additional information about LD 307 is provided earlier in this report, *supra*.

Through LD 307, the SEC trained new managers and supervisors on Schedule A hiring authority, TMT, and RA to ensure their awareness of their role in hiring and retaining employees with temporary or permanent disabilities. In-depth, situation-specific training was provided as needed to individual managers who supervise employees with disabilities. Periodic training occurs with each hiring manager that requests to fill a position. The hiring checklist the staffing specialists use includes a Schedule A section that is discussed in depth during the one-on-one hiring conversation. The HR specialist trains the hiring manager on the various procedures of the Schedule A hiring process and offers it as a course of action where applicable. The SEC will continue to provide training to supervisors and hiring officials to ensure that they are aware of their responsibilities with regard to hiring and supervising employees with disabilities. The training will cover restrictions on questions related to medical information, Schedule A hiring authorities, SEC's disability accommodation procedures, overlap between the Family Medical Leave Act and the Rehabilitation Act of 1973, and confidentiality requirements.

*Hiring and Accommodating Individuals with Disabilities*

In FY 2019, the SEC continued to take steps to improve overall disability recruitment efforts as outlined in the FY 2018–2019 *Recruitment Strategy*. In FY 2019, the following activities were used to support this initiative related to hiring and accommodating individuals with disabilities:

- Introduced a streamlined approach to the general hiring process by filtering external hiring requests through the Selective Placement Program Coordinator (SPPC) for further review. The SPPC referred qualified applicants from the Schedule A database to hiring managers prior to or concurrently with the general staffing process.
- Attended over 17 career fairs and events which allowed the SEC to maintain a physical recruitment presence and support efforts to build a pipeline for future employment.
- Developed and distributed Schedule A recruitment materials via social media and professional organizations. The SEC hired seven employees under the Schedule A hiring authority of which two had targeted disabilities.
- Continued to work with selecting officials through training, meetings, and internal communications to encourage the use of special appointment authorities to recruit veterans with disabilities.

- Continued to maintain partnerships with professional organizations and partnered with various professional associations across the Agency, such as the SEC Veterans Committee and the Disability Interests Advisory Committee (DIAC).
- Explored a new partnership opportunity with an external organization that provides interns with disabilities to federal and private organizations.
- Utilized the Delegated Examining (DE) authority as well as the Pathways Programs to recruit and hire disabled veterans.
- Partnered with the DIAC to host the first Hiring Manager’s Forum regarding Schedule A Disability and Veterans hiring authorities in an effort to further educate SEC hiring managers and promote the use of such authorities and featured a panel discussion with managers from across the Agency who shared their experience using these programs.
- Revised the current resource guide, *Disability Accommodation Procedures*, to align with SEC policy format and guidelines. The updated RA policy and operational procedure align with recent updates made to the RA process and related program guidance, including requirements identified in the EEOC’s Section 501 regulations under the Rehabilitation Act of 1973. In FY 2019, the revised RA policy and operational procedures were approved by the EEOC for implementation and the SEC intends to publish the revised policy and operational procedures in FY 2020.
- Updated the current TMT policy and operational procedures to clarify the process and guidelines and to comply with provisions set forth in the SEC 2018 Collective Bargaining Agreement for the TMT program. OHR intends to publish the updated policy and operational procedures in FY 2020.
- Revamped LD 307 new managers training to ensure awareness of RA program process and related program guidance, and regulations under the Rehabilitation Act of 1973 and conducted four offerings that included e-learning, virtual learning, and a RA case study application component for managers across the Agency.
- Hosted a NDEAM celebration featuring leading experts in the areas of disability disclosure and identity in the workplace.
- Hosted various outreach events in partnership with various SEC employee affinity groups to include the DIAC and Women’s Committee that included a Fall Festival, Eyeglass Drive, and the Annual May Meet and Greet, which generated new members for the DIAC.
- Processed 119 TMT requests.
- Processed 131 RA requests, of which 34 were requests for telework as a reasonable accommodation.
- Trained all new employees on Work-Life, TMT, RA, and leave programs to ensure awareness of various solutions or flexibilities for employees.
- Continued to update OHR’s friendly, interactive portal, *AskHR*, on the SEC’s intranet. The site provides employees with information about hiring, compensation and benefits, employee development, performance management, and disability accommodations among a number of other topics.

*Agency EEO, Diversity and Inclusion, and Leadership Development Accomplishments*  
In FY 2019, the SEC achieved a number of accomplishments in the areas of EEO, diversity and inclusion, and leadership development, including, but not limited to, the accomplishments listed below.

#### Outreach and Recruitment of Diverse Talent

Under OMWI's leadership, the SEC pursues a comprehensive strategy for building and maintaining a diverse workforce and fostering an inclusive workplace culture. A key component of that strategy has been outreach and recruitment to develop and maintain a pipeline of diverse talent for future SEC employment. Though hiring remained limited during FY 2019, the SEC participated in 24 diversity outreach and recruitment events; distributed job advertisements to 265 recruitment sources; and used its partnerships with 20 professional associations, educational organizations, and institutions to inform diverse professionals and students about job vacancies and internships.

In addition to outreach and recruitment efforts conducted by OMWI, OHR also took steps to ensure the SEC has a pipeline of talent in the disability and veteran community by:

- Maintaining relationships with key organizations throughout FY 2019;
- Launching a new marketing campaign entitled “*I Am the SEC*,” which highlights various occupations and SEC employees who bring a range of skill sets from diverse backgrounds as a means to attract prospective candidates including veterans and people with disabilities (available at: <https://www.sec.gov/news/sec-videos/i-am-sec>);
- Attending several disability- and veteran-focused career fairs and events; and
- Strengthening partnerships with internal employee affinity groups to bring awareness to SEC personnel regarding disability and veteran hiring initiatives.

For example, the SEC has partnered with the following organizations: Bender; American Association of People with Disabilities; American Association on Intellectual and Developmental Disabilities; American University Academic Support and Access Center; Campaign for Disability Employment; Deaf and Hard of Hearing Bar Association; Disability Support Services—University of Maryland; Disabled American Veterans; Disaboom; Office of Disability Employment Policy in the U.S. Department of Labor; Office of Disability Services—George Mason University; Professionals with Disabilities; U.S. Business Leadership Network; and the Workforce Recruitment Program.

#### Work-Life Programs

The SEC supports its employees and their family members through an array of work-life programs that includes the Employee Assistance Program, a fitness program, health and wellness units, an on-site child care facility, a child and elder backup care program, and various opportunities to engage with experts to obtain guidance on better managing responsibilities and

life events via WorkLife4You. The SEC further offered a large spectrum of services to support its employee's needs and life circumstances by offering 96 live webinars, seven supervisory-only webinars, and 14 health and wellness seminars.

### Training and Leadership Development

The SEC provided numerous opportunities for employees to acquire the skills and certifications needed to succeed in their positions and to progress in their careers. SECU provided classroom-style and e-Learning programs and offered an extensive array of learning opportunities in technical areas (e.g., courses on Hedge Funds, Mutual Funds, and Credit Derivatives) as well as in leadership development to SEC senior leaders and non-supervisory staff alike.

The SECU College of Leadership Development (LD) offerings are designed to promote leadership behaviors that support OCOO's and OHR's vision to promote respect, honor the dignity of all people, develop others and cultivate the creativity, growth and diversity of thought and experience for leaders at all organizational levels. Content incorporates multiple learning formats so all SEC employees can successfully participate, including 508 compliant e-learning, virtual offerings, and the availability of on-demand sign language interpreters. Varied training formats provide SEC leaders with an equality of access to leadership development offerings, regardless of one's learning style or location at headquarters, one of the SEC's 11 regional offices, or remote workers.

Page 77 above provides information on leadership development focused on specific levels of SEC leadership.

### Career Development Programs

Among the variety of learning and development offerings, the SEC offered the career development programs described below: *Women in Leadership*, *Excellence in Government (EIG) Fellows*, *Aspiring Leaders*, and *Upward Mobility*.

#### Women in Leadership

The *Women in Leadership* program is offered under the auspices of the Brookings Institution. Each year, the SEC offers either managers or non-managerial staff the opportunity to participate in this leadership development program in a cohort format. One cohort is offered to SK-15 and SK-17 supervisors, while another cohort is offered to staff at the SK-14 and SK-16 levels. Through the *Women in Leadership* program, individuals from across federal agencies learn how to strengthen leadership qualities and explore key elements of senior leadership success while maintaining authenticity and balance. The learning objectives of this program include:

- Building self-awareness of workplace behaviors (such as emotional intelligence, resiliency, and communication) and implementing self-directed strategies to promote continued leadership competency;
- Promoting effective relationships and network-building; and
- Understanding individual leadership competency strengths and opportunities for development.

The *EIG Fellows Program*, coordinated by the Partnership for Public Service, strengthens the leadership skills of experienced federal employees through a combination of innovative coursework, best practices benchmarking, challenging action-learning projects, executive coaching, and government-wide networking. During this competitively-based program, Fellows remain in their full-time jobs, meet every six weeks, and spend approximately two days total in sessions. Fellows also devote up to five hours per week to their results project. This program is offered to employees in the SK-14 to SK-17 (a mix of supervisory and non-supervisory) levels.

In addition to activities with the Partnership for Public Service, SEC's EIG Fellows attend facilitated cohort meetings at SEC Headquarters to share what they are learning and to explore how this information can be applied to improve organizational performance, workplace relationships, and productivity within the SEC.

### Aspiring Leaders

The Aspiring Leaders program is an interactive blended-learning program designed to strengthen the leadership and management skills of SEC non-supervisory (SK-13 and SK-14) employees. The learning objectives of the program include:

- Applying critical leadership skills necessary for effective supervision;
- Understanding first-line management responsibilities as they relate to *Human Resource Management, Developing People, and Building Effective Relationships*; and
- Increasing self-awareness through guided self-assessments and feedback from course instructors.

### Mentoring Program

In Fall 2018, SEC successfully launched a pilot mentoring program. This inaugural cohort of 30 employees were paired with mentors across the Agency. The pilot program lasted for six months and celebrated their Finale event on June 26, 2019. Throughout the mentoring program's duration, employees and their mentors met regularly to discuss career development among other topics. On a regular basis, the program managers in OCOO gathered feedback from both mentees and mentors about the program's efforts. These data informed the Agency's decision to formally institute the SEC's Mentoring Program. In late FY 2019, OCOO was pleased to announce the launch of the next Mentoring Program cohort. As was true for the pilot program, the next cohort registration process received overwhelming interest among employees. On September 23, 2019, 103 employees registered interest in participating in the next mentoring cohort. Thirty employees were paired with mentors for the next cohort. The SEC's Mentoring Program will provide career development and support to these 30 employees from October of 2019 until the Capstone event scheduled for June 16, 2020. Formal program events for both mentors and participants are scheduled quarterly and facilitated by OCOO and SECU experts. SEC held an orientation session for both mentors and participants on October 28 and 29, 2019. Additional information about the mentoring pilot is found in the summary of the analysis of internal competitive promotion to SO and senior grade level positions in Part I of this report, *infra*.

*Training on EEO, Diversity & Inclusion, and Team Effectiveness*

The SEC also provided training to employees and/or supervisors on the following:

- *Diversity and Inclusion:* SECU continues to work with OMWI to procure and support web-based and classroom training related to diversity and inclusion. In addition, SECU offers non-conscious bias courses as requested for intact teams and within specific leadership programs (e.g., Aspiring Leaders) throughout the year.
- *Team Effectiveness:* SECU offers intact team training for supervisors/managers and their teams through a variety of team effectiveness workshops. These workshops are typically two-to-four hours in length, can be taken individually to address a need or to learn about a specific topic or as part of a workshop series, or are custom-designed for a team to address their unique challenges and opportunities. The *Team Effectiveness* workshops offered in FY 2019 by SECU included:

*Communication Styles;*

*Workplace Trust;*

*Achieving Results;*

*Feedback as a Performance Tool;*

*Leading People;*

*Team Dynamics;*

*Emotional Intelligence;*

*Leading with the Brain in Mind;*

*Leadership Presence;*

*Understanding Your Personality at*

*Work (Workplace Big 5 Assessment);*

*DiSC Behavioral Styles;*

*Myers-Briggs Type Indicator;*

*Simple Strategies to Engage Employees;*

*Difficult Conversations (for supervisors and non-supervisors); and*

*Working in a Distributed Team.*

# CERTIFICATION OF ESTABLISHMENT OF CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS (PART F)

<b>EEOC FORM 715-01 PART F</b>	<b><i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT</b>
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## CERTIFICATION of ESTABLISHMENT of CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS

I, Peter J. Henry, Director, OEE0/0905/SO-2, am the  
 (Insert name above) (Insert official title/series/grade above)  
 Principal EEO Director/Official for the U.S. Securities and Exchange Commission  
 (Insert Agency/Component Name above)

The Agency has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements as prescribed by EEO MD-715. If an essential element was not fully compliant with the standards of EEO MD-715, a further evaluation was conducted and, as appropriate, EEO Plans for Attaining the Essential Elements of a Model EEO Program, are included with this Federal Agency Annual EEO Program Status Report.

The Agency has also analyzed its workforce profiles and is conducting barrier analyses aimed at detecting whether any management or personnel policy, procedure or practice is operating to disadvantage any group based on race, national origin, gender or disability. EEO Plans to Eliminate Identified Barriers, as appropriate, are included with this Federal Agency Annual EEO Program Status Report.

I certify that proper documentation of this assessment is in place and is being maintained for EEOC review upon request.

9/22/20

  
 Signature of Principal EEO Director/Official Date

Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD-715.

9/28/20

  
 Signature of Agency Head or Agency Head Designee Date

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# AGENCY EEO PLAN TO ATTAIN THE ESSENTIAL ELEMENTS OF A MODEL EEO PROGRAM (PART H)

Please describe the status of each plan that the agency has implemented to correct deficiencies in the EEO program.

If the agency did not address any deficiencies during the reporting period, please check the box.

## STATEMENT OF MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY

### Section I:

Agency's Procedures for Reasonable Accommodation

Type of Program Deficiency	Brief Description of Program Deficiency
Agency's procedures for reasonable accommodation.	Currently, the SEC has not met the goal of processing 90% of accommodation requests within the time frame set forth in the Agency's procedures for reasonable accommodation.

### Objective(s) and Dates for EEO Plan

Date Initiated (mm/dd/yyyy)	Objective	Target Date (mm/dd/yyyy)	Modified Date (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
10/01/2016	Establish a process that allows the SEC to confirm that 90% of accommodation requests are processed in compliance with the time frame identified in the SEC's reasonable accommodation procedures.	09/30/2022		

### Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Chief Human Capital Officer, OHR	Jamey McNamara	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
09/30/2022	In FYs 2020 and 2021, the Disability Program will implement new policy and procedural guidance. In FY 2020, the Agency will engage in an acquisition process to procure a Service Now Human Resources Service Delivery (HRSD) module. System requirements analyses are expected to be completed in FY 2021; full design and implementation of an automated RA system is expected in FY 2022. The implementation of the system will enable the SEC to address the timeliness standards set by the new SEC RA policy.	Yes	09/30/2019	
09/30/2022	This system will also allow the SEC to assess and analyze trends that occur in the Agency that warrant increased outreach and education efforts with managers and/or employees.	Yes	09/30/2019	

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2019	<p>A new policy and procedural guidance were approved by the EEOC in FY 2019. As such, the RA electronic system requirements were also reviewed in FY 2019. Because the Agency is engaged in an acquisition process to procure a Service Now Human Resources Service Delivery (HRSD) platform, an assessment will be conducted to determine the viability for the RA module for both employees and managers. System requirements analyses are expected to be completed in FY 2021 and full design and implementation of the system is expected in FY 2022. The implementation of the system will enable the SEC to address the timeliness standards set by the new SEC RA policy.</p> <p>The Agency identified opportunities to strengthen its manual tracking process. In FY 2019, RA and TMT Request and Agreement forms were created to simplify the process for employees making requests; to ensure current, accurate, and complete information is obtained to reduce processing times; and to improve the reliability of records indicating customer approval of the reasonable accommodation(s) provided. The RA Program team tracks timeliness for processing RA requests and meets on a monthly basis with the CHCO to review and discuss timeliness and processing of all RA cases. The overall FY 2019 processing timeliness rate for RA and Temporary Medical Telework (TMT) programs was 74%. The SEC processed 54 RA requests for adjustable height tables (AHT) and met or exceeded processing timelines for 73% of those requests. Of the remaining 79 requests, the SEC met or exceeded timely processing standards for 57% of closed requests.</p> <p>The time frame for processing RA requests in FY 2019 was affected by a number of organizational and business process changes that resulted in a 15% decrease from the FY 2018 timeliness result of 72%. Specifically, in FY 2019, changes to the procurement process for the purchase and installation of RA equipment and assistive technology impacted SECs ability to provide accommodations timely. In addition, the SEC initiated frequent consultations with medical experts at the Federal Occupational and Health (FOH) to complete medical reviews of employees with a wide range of conditions in an effort to improve their ability to do their jobs and maintain a high level of productivity. As such, in FY 2019, requests to FOH were processed in 37.8 days on average.</p> <p>A new RA policy and procedural guidance were approved by the EEOC in FY 2019. Updates were made to current RA procedures to align with recent updates made to the process and related program guidance, including requirements in EEOC's revision to Section 501 regulations under the Rehabilitation Act of 1973. The SEC is going through an internal review of its policy and operation guidance and intends to publish these documents, including a Section 508-compliant version, in FY 2020.</p> <p>In addition, the SEC's TMT program provides temporary telework to employees with short-term medical conditions that may not constitute a covered disability under the Rehabilitation Act of 1973 when supervisory officials and the Disability Program Office determine that it is appropriate. In FY 2019, the Disability Program Office revised the TMT policy and operational procedures to clarify the process and guidelines and to comply with provision set forth in the SEC 2018 Collective Bargaining Agreement (CBA) for the TMT program. The SEC processed and closed 119 TMT requests and processed 91% of those requests timely.</p> <p>Beyond TMT, the SEC also supports a robust telework program, and 95% of the workforce has an active telework agreement. Sixty-four percent of those agreements are for recurring telework schedules and 36% are ad-hoc telework agreements. The SEC provides equipment for teleworking individuals that meet certain criteria. The SEC continues to provide equipment for all employees who telework three or more days each week and, as needed, for employees with disabilities authorized to telework as a reasonable accommodation.</p>

# AGENCY EEO PLAN TO ELIMINATE IDENTIFIED BARRIER (PART I)

Please describe the status of each plan that the agency implemented to identify possible barriers in policies, procedures, or practices for employees and applicants by race, ethnicity, and gender.

If the agency did not conduct barrier analysis during the reporting period, please check the box.

## STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

### Section I:

Analysis of Internal Competitive Promotion to SO and Senior Grade Level Positions

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis of internal competitive promotion to Senior Officer and senior grade level positions	Tables A7 and A8	In an August 7, 2014, letter to the SEC, the EEOC noted that the SEC should evaluate whether "women overall, Hispanic females, and Asian females may be encountering a glass ceiling as they seek promotion to SO [senior officer] positions" or "are bottlenecking at certain grade levels in their occupations."

### EEO Group(s) Affected by Trigger

EEO Group	
All Men	
All Women	X
Hispanic or Latino Males	
Hispanic or Latino Females	X
White Males	
White Females	X
Black or African American Males	
Black or African American Females	X
Asian Males	
Asian Females	X
Native Hawaiian or Other Pacific Islander Males	
Native Hawaiian or Other Pacific Islander Females	X
American Indian or Alaska Native Males	
American Indian or Alaska Native Females	X
Two or More Races Males	
Two or More Races Females	X

## Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	<p>Workforce demographic data for FY 2011 – FY 2015</p> <p>Applicant flow data for new hires and promotion to SK-15 to SO levels for the period FY 2011 – FY 2015</p> <p>Selection case files (hiring and promotions) for the second half of FY 2014 and the first half of FY 2015</p> <p>Resumes submitted by female applicants for hire or promotion to SK-15, SK-17, and SO positions compared to those submitted by successful male candidates</p>
Complaint Data (Trends)	Yes	EEO complaint activity filed between FY 2012 – FY 2015 to identify any complaints filed by applicants for SK-15, SK-17 and SO positions
Grievance Data (Trends)	No	
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable.
Climate Assessment Survey (e.g., FEVS)	Yes	<p>Federal Employee Viewpoint Survey (FEVS) data on indices and items related to promotion, recruiting, and hiring</p> <p>Employees' responses to a survey conducted by a vendor in July 2014 regarding promotions at the SEC</p> <p>Employees' responses on promotions and related content from a <i>Workplace Experience Survey</i> conducted by OEEA during FY 2018 as part of SEC's barrier analysis work</p>
Exit Interview Data	Yes	Employee survey data from the Agency's exit survey to understand better the reasons for voluntary separation
Focus Groups	Yes	Data from 14 focus group interviews with 72 female supervisors and managers at the SK-15 to SO levels about their experiences and career development at the Agency
Interviews	Yes	<p>Interviews with subject matter experts in the SEC's OHR and OMWI</p> <p>Interviews with hiring officials and female candidates about their experiences with the hiring and promotion process</p>
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	<p>Audit reports regarding personnel management at the SEC based on research from the Government Accountability Office</p> <p>EEOC's technical assistance letters provided in response to the SEC's annual EEO Program status report</p>
Other (Please Describe)	Yes	<p>Research literature, formally established policies related to promotion of SOs at the SEC, and reports to understand promotion and hiring processes better</p> <p>Information about best practices in recruiting female leaders in the federal government and private industry</p>

Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
Yes	No

Statement of Identified Barrier(s)

Barrier Name* (required)	Description of Policy, Procedure, or Practice
Analysis of internal competitive promotion to SO and senior grade level position	<p>OEE0, OHR, and OMWI agreed to take action toward enhancing equal employment opportunity for women seeking leadership positions to address the following areas requiring improvement:</p> <ul style="list-style-type: none"> <li>• A perception that the work demands of leadership roles limit the viability of using work-life flexibilities, including telework;</li> <li>• Formal or informal mentoring programs that would facilitate the development and visibility of interested employees;</li> <li>• Consistency and structure in the posting, screening, and interview processes for selection; and</li> <li>• Succession planning for future vacancies to develop potential successors and encourage consideration of a diverse pool of candidates for leadership positions.</li> </ul>

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
<p>As of September 30, 2018, the following activities were identified as needing further study as part of monitoring Agency action from this study:</p> <ul style="list-style-type: none"> <li>• Review the quality of information and documentation on interviews and selections for leadership positions.</li> <li>• Analyze newly available data from interview and selection documentation to monitor progress on responsive action from this study.</li> </ul>	08/14/2014	08/16/2019	Yes	09/30/2018	08/16/2019

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Chief Human Capital Officer, OHR	Jamey McNamara	Yes
Director, OMWI	Pamela Gibbs	Yes
Director, OEE0	Peter J. Henry	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEE0 will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, promotional opportunity, recruitment, and hiring for leadership positions.		11/6/2017
03/31/2018	The Agency will solicit stakeholder input for the design of a mentoring program.		02/28/2018
09/30/2018	OHR will monitor leadership bench strength against metrics established by the <i>SEC Human Capital Strategic Plan for FY 2016 – FY 2018</i> , continue to encourage strategic conversation between hiring managers and HR specialists when considering hiring options, and monitor compliance with <i>Requirements for Screening and Interviewing Job Candidates</i> (PM-2016-001) and participation in training by employees directly involved in the selection process.		09/30/2018
09/30/2018	OHR and OMWI will explore continued enhancements to the SEC's leadership development programs, including additional opportunities to foster diversity among SEC employees preparing for senior level positions.		09/30/2018
09/30/2018	OMWI will continue to target recruiting to attract women and minorities, including Hispanic, Asian, and African American women, as applicants for leadership positions.		09/30/2018
08/16/2019	OEE0 will continue to monitor the data that triggered this analysis along with additional quantitative and qualitative data related to employee perceptions of promotion and leadership opportunities, participation in and perceptions of telework, and participation rates and data or documentation of the interviewing and selection stages when filling leadership positions.		08/16/2019

## Report of Accomplishments

Fiscal Year	Accomplishments
FY 2017	<p>Since 2013, OMWI has leveraged the participation of female SOs as well as other employees for all of its outreach events. OMWI will continue to include this as an element of its multi-prong strategy to enhance diversity at the SEC. As of September 30, 2017, through strong partnership across the Commission, and in particular, among representatives from OEEO, OHR, OMWI, and the Diversity Council, the Agency implemented a number of actions to improve equal employment opportunity. These actions included the following:</p> <ul style="list-style-type: none"> <li>• Monitoring the bench strength of talent in line to take on leadership positions and using an interest survey and competency-based data to inform leadership development programming through SECU;</li> <li>• Starting in the fall of 2017, exploring options for a mentorship program;</li> <li>• More consistently posting internal detail and permanent vacancy postings for leadership positions, including SO positions, on the main page of the intranet and in the Agency's internal communications vehicle, <i>SEC Today</i>;</li> <li>• Publishing the revised policy on Requirements for Screening and Interviewing Job Candidates that requires documentation for each hiring action for both staff level and leadership positions;</li> <li>• Continuing to leverage OHR's expertise in the design and implementation of structured interviews for SO positions;</li> <li>• Conducting training for all employees and, more specifically, mandatory training for anyone involved in the hiring and/or promotion process;</li> <li>• Increasing the quality of interaction between HR specialists and hiring managers toward more strategic conversation, greater use of selection best practices, and more consistently providing feedback to unsuccessful candidates who applied for leadership positions;</li> <li>• Continuing to evaluate applicant flow data for internal and external hiring to determine progress towards removing potential barriers for women and minorities seeking leadership positions;</li> <li>• Maintaining active participation of OEEO and OMWI in the development and implementation of the Agency's Human Capital Strategic Plan;</li> <li>• Targeting recruiting efforts to attract talented women and minorities to apply for SO and other leadership positions; and</li> <li>• Working with the Chairman, the Commissioners, the Diversity Council, employees, and managers in support of efforts to promote equality of opportunity and diversity at the Agency.</li> </ul>

Fiscal Year	Accomplishments
FY 2018	<p>In FY 2018, the SEC accomplished the following:</p> <ol style="list-style-type: none"> <li>1. OEEO conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, promotional opportunity, recruitment, and hiring for leadership positions. The survey was conducted between October 11, 2017, and November 6, 2017. OEEO analyzed 1,360 responses and narrative comments from 469 employees. Survey responses demonstrate significant improvement in employee perception of promotional opportunity at the Commission and recognition of steps taken to improve the standardization and transparency of posting opportunities for promotion and detail opportunities. Across six items specific to promotions replicated from a survey conducted in 2014, the average increase in percent favorable results was 16.5% points.</li> <li>2. The Commissioners and the Chairman gathered information and hosted two round-table discussions focused on diversity and inclusion related issues. On October 12, 2017, Chairman Clayton solicited input from the workforce to explore ideas for fostering mentorship at the SEC in anticipation of the first round-table discussion. On January 17, 2018, SEC Chairman Clayton and all four SEC Commissioners sponsored an Agency-wide mentoring roundtable. This roundtable featured SEC leaders, as well as a senior level director from the Federal Deposit Insurance Corporation, a partner from a law firm, and the Associate Director of the Inclusiveness Center of Excellence from the Americas division in one of the four largest public accounting firms. A more general diversity and inclusion session was hosted by the Chairman on February 28, 2018, as part of African American History Month celebrations. This session included SEC panelists and two invited guests, Managing Directors at legal firms focused on the financial industry. One of these guests was a former director of the Securities Industry and Financial Markets Association.</li> <li>3. In summer 2018, the SEC successfully launched a pilot mentoring program leading to the first cohort of 30 participants who will receive mentoring throughout FY 2019. The pilot mentoring program received overwhelming interest among employees. In total, 142 employees submitted a statement of interest in the program. Among them, 71.1% were women, 25.4% were Black or African American women, 2.1% were Hispanic women, and 12.0% were Asian women. On a first-come, first-serve basis, 30 participants were accepted into the mentoring program and matched with volunteer mentors with deep technical expertise and/or leadership experience. The 30 participants include 75.9% women and 51.7% minorities, including eight (27.6%) Black or African American women and four (13.8%) Asian women. The SEC held an orientation session for both mentors and participants on September 28, 2018, and will hold formal events throughout FY 2019 to help guide the mentoring relationship toward success.</li> <li>4. OHR and OMWI continued to make significant enhancements to the SEC's leadership development programs. As described above in Part E and later in Part J Section IV, the SEC added to the offerings within its leadership development program. The actions described below help to inform the design and administration of career development programs and content that will support women overall, Hispanic women, and Asian women interested in pursuing advancement to SO. <ul style="list-style-type: none"> <li>— Late in FY 2017, OHR conducted a Leadership Interest Survey to gather data from all SK-15 and SK-17 managers. Survey data from both men and women in SEC management were analyzed in early FY 2018 to inform SECU's leadership development offerings going forward.</li> <li>— OHR developed and collaborated with NTEU to finalize a Competency Assessment Survey to inform workforce planning efforts and shape the future of SEC-wide training and development programs. The survey was launched in September 2018, and data collection continued into the new fiscal year.</li> <li>— OHR's Human Capital Strategy group began a long term, multi-year planning effort for a leadership development program similar to the SES Candidate Development Programs offered by other federal agencies. This program will support the technical and core competency development for cohorts of employees seeking leadership positions, including those interested in the SO leadership ranks.</li> </ul> </li> <li>5. Within the constraints of the hiring freeze that continued in FY 2018 from FY 2017, OMWI targeted its recruiting efforts to attract women and minorities, including Hispanic, Asian, and African American women, as applicants for leadership positions.</li> <li>6. OEEO monitored the data that triggered this analysis along with additional quantitative and qualitative data related to employee perceptions of promotion and leadership opportunities, participation in and perceptions of telework, and participation rates and data or documentation of the interviewing and selection stages when filling leadership positions. In support of data monitoring, OEEO: <ul style="list-style-type: none"> <li>— Leveraged successes from the development of the EEO-AT in FY 2017 to develop a series of workforce data summary tools to assess progress in enhancing promotional opportunity for women and minority women into leadership positions.</li> <li>— Reviewed data on employee perceptions about and use of telework across the Agency and by employees at all leadership levels for evidence of greater openness to flexible work arrangements.</li> <li>— Received and prepared to review available paper record documentation of selections made in FY 2017 and FY 2018 for internal competitive promotions to leadership positions at the SK-15, SK-17, and SO levels.</li> </ul> </li> </ol>

Fiscal Year	Accomplishments
FY 2019	<p>In FY 2019, OEE0 completed analysis of the interview documentation gathered as per the policy on <i>Requirements for Screening and Interviewing Job Candidates</i>. For that analysis, OEE0 reviewed the interview documentation maintained by OHR in selection case files.</p> <ul style="list-style-type: none"> <li>• Data reviewed were gathered between October 1, 2017, and May 31, 2018, for internal competitive promotion vacancies to the SK-15, SK-17, and SO levels. OEE0 notes that during most of the period of study, the SEC was under a hiring freeze. As such, relatively few internal promotion actions were undertaken. Further, the freeze was more likely to impact occupations other than Mission Critical Occupations (MCOs). The data reviewed, then, included a relatively large proportion of MCO vacancies; in particular, vacancies for Attorney and Securities Compliance Examiner positions were most prevalent in the data. A total of 50 vacancies and data for 218 candidate applications from 195 individual applicants comprises the data set.</li> <li>• OEE0's review found some opportunity for greater consistency in the data captured about interviews and eventual selection decisions. In particular, copies of the actual job announcement would help with interpreting interview documentation. As noted above, the data subject to review in this analysis were captured early on after implementing the requirements policy, OHR has since updated Form 2933 used to capture interview and selection documentation.</li> <li>• For the vacancies included in OEE0's review, we found that the participation rate at which women were selected for promotion was higher than their participation among those invited to interview. However, this pattern was not found among minority group women. These results may be attributable to the particular vacancies for which data were available.</li> <li>• OEE0 also reviewed the demographic composition of the cadre of interview panel members. Using social network analysis, we found that the participation rates of men and women serving on interview panels mirrored their participation at the Agency overall and within the specific occupations covered by the interview data.</li> <li>• OEE0 reviewed data on the participation of men and women, including separate analysis of Hispanic and Asian women, in the Agency's Mentoring Program. The proportion of women who registered for the Mentoring Program during September of 2019 exceeds their participation on rolls (70.00% versus 46.21%). Program registration was particularly strong among Hispanic (13.33%) and Asian women (13.33%). Mentoring participants will receive focused career development for the duration of the program from October 2019 through June 2020.</li> </ul> <p>This action was the last item among the agreed upon actions from this study of the Agency's senior leadership positions. Analysis of the Agency's actions to enhance equal employment opportunity for women seeking leadership positions demonstrated specific and measurable improvement during the period studied in the areas of: work-life flexibilities; mentoring; and posting, screening, and interview processes. The SEC has closed this analysis and transitioned the study to a monitoring phase as part of this annual report.</p>

## STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

### Section II:

#### Analysis by Gender of Applicants to MCO Positions

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis by gender of applicants, on rolls, and new hires to Mission Critical Occupations (MCOs)	Table A6	Female applicants for employment with the SEC, and in particular, for the mission critical occupations (accountant, securities compliance examiner, and economist) were hired at a lower rate than their representation in the respective OCLF. More specifically, there was lower participation among women than men at specific stages of the hiring process: application, qualification, referral, and selection.

#### EEO Group(s) Affected by Trigger

EEO Group	
All Men	
All Women	X
Hispanic or Latino Males	
Hispanic or Latino Females	X
White Males	
White Females	X
Black or African American Males	
Black or African American Females	X
Asian Males	
Asian Females	X
Native Hawaiian or Other Pacific Islander Males	
Native Hawaiian or Other Pacific Islander Females	X
American Indian or Alaska Native Males	
American Indian or Alaska Native Females	X
Two or More Races Males	
Two or More Races Females	X

## Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	<p>Workforce data tables and participation rates for women in these MCOs from FY 2013 – FY 2018</p> <p>Applicant flow data and new hire data from FY 2013 – FY 2017 for each MCO</p> <p>Benchmark data available from the Census Bureau that provide more detail into the participation of women in the civilian labor force</p>
Complaint Data (Trends)	Yes	Data in EEO complaints filed between FY 2013 – FY 2017 to identify any complaints filed by women who applied for economist, accountant, or securities compliance examiner positions
Grievance Data (Trends)	N/A	
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable.
Climate Assessment Survey (e.g., FEVS)	Yes	<p>Employee survey data from the Agency's quality of hire survey related to recruiting and hiring</p> <p>Federal Employee Viewpoint Survey (FEVS) data on indices and items related to recruiting and hiring</p> <p>Employees' responses to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018 regarding recruiting and hiring</p>
Exit Interview Data	Yes	Employee data from the Agency's exit survey to understand better the reasons for voluntary separation
Focus Groups	Yes	Focus group interviews with Regional Office leaders about the procedures and practices for recruiting and hiring process support
Interviews	Yes	<p>Interviews with subject matter experts in OHR and OMWI about recruiting and hiring</p> <p>Interviews with Diversity and Inclusion leadership at the "Big Four" public accounting firms (i.e., Deloitte, EY, KPMG, and PwC)</p> <p>Individual interviews with Agency leaders at the headquarters location about the procedures and practices for recruiting and hiring process support</p>
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for these MCOs in the civilian labor force and the federal workforce
Other (Please Describe)	Yes	<p>More than 800 resumes submitted by applicants during FY 2015 for MCO positions</p> <p>Position descriptions and vacancy announcements for the targeted MCOs</p> <p>Research literature, formally established policies, collective bargaining agreement language, and reports to understand recruiting and hiring processes better</p> <p>Information about best practices in recruiting female applicants for employment in the federal government and private industry</p>

Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
Yes	No

Statement of Identified Barrier(s)

Barrier Name* (required)	Description of Policy, Procedure, or Practice
Analyses by gender of applicants to MCO positions	<p>On the basis of the analytic work, OEEO did not identify any specific barriers for female applicants seeking opportunities in the SEC's MCOs. OEEO's analysis suggests the following will have measurable impact on the recruitment and hiring of women into these MCOs:</p> <ul style="list-style-type: none"> <li>• Adopting process improvements to help ensure high-quality decision-making at the referral stage of the application process; and</li> <li>• Increasing early career recruitment (at lower earnings or SK-levels) to access candidate pools with greater gender diversity, consistent with operational needs.</li> </ul>

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
The Agency will identify actions to enhance equality of opportunity in the application process for these MCOs.	03/01/2016	10/18/2019	Yes		10/18/2019

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEEO	Peter J. Henry	Yes
Chief Human Capital Officer, OHR	Jamey McNamara	Yes
Director, OMWI	Pamela Gibbs	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore, among other topics, employee perceptions of recruitment and hiring.		11/06/2017
12/31/2017	In collaboration with other Agency stakeholders, OEEO will gather data that help to review and prioritize potential actions for improvement.		12/31/2017
04/15/2018	OEEO will integrate and interpret quantitative and qualitative data to establish evidence for any areas for improvement.		10/31/2018
12/31/2018	OEEO will hold meetings and present leadership briefings to share the research summary from this study. These briefings form the basis for action planning.		11/30/2018
09/30/2019	To the extent areas needing improvement in recruiting and hiring processes are found, the SEC will begin to develop an action plan to help foster equal employment opportunity.		09/30/2019
10/18/2019	OEEO will begin to design an evaluation plan to monitor results based on the work completed in this study.		10/18/2019

Report of Accomplishments

Fiscal Year	Accomplishments
<b>FY 2016</b>	<p>OEEO analyzed, applicant flow data on a quarterly basis. OEEO reviewed relevant written policies and established procedures affecting the employment of women, and in particular, the employment of women in major occupations.</p> <p>The SEC partnered with the National Society of Compliance Professionals (NSCP) to post vacancy announcements and also participated in their annual conference hosting a Career Panel.</p> <p>OMWI conducted outreach at colleges/universities with a high population of female students and participated in career and branding events to increase the female candidate talent pool. In FY 2016, OMWI participated in career fairs at the following colleges/universities with high female student populations:</p> <ul style="list-style-type: none"> <li>• Wellesley College Fair: 2/26/16</li> <li>• Trinity Washington University On-Campus Recruitment: 4/22/16</li> <li>• Boston College 2016 Fall Career and Internship Fair: 9/13/16</li> <li>• Montclair State University Accounting Career Fair: 9/15/16</li> <li>• Alabama State University Career Fair: 9/29/16</li> </ul>

Fiscal Year	Accomplishments
FY 2017	<p>OEE0 conducted structured research activities to explore the data, including:</p> <ul style="list-style-type: none"> <li>• Developing and implementing procedures and process to conduct qualitative coding and analysis methods for interview and resume data;</li> <li>• Borrowing root cause analysis methods from the Lean Six Sigma and Continuous Improvement research tradition to explore alternative explanations related to observed triggers;</li> <li>• Investigating the critical steps in the Agency's recruiting and hiring processes using structured questioning methods suggested by EEOC guidance that help support root cause identification.</li> </ul> <p>OEE0 analyzed workforce and other quantitative data as well as summarized data from resume and document reviews, interviews, and focus groups. Quantitative and qualitative data revealed the following:</p> <ul style="list-style-type: none"> <li>• The proportions of women applying for consideration in these MCO remain below the 2010 occupational CLF over the five year period analyzed from FY 2013 through FY 2017;</li> <li>• There was an increase in the proportions of women tentatively selected as compared to those referred for hiring manager consideration across the time period reviewed for particular MCO positions; and</li> <li>• Hiring managers and those involved in recruiting for MCO positions could benefit from having approved language or materials available for use in recruiting talented women to the Agency's MCO positions.</li> </ul> <p>OEE0 designed a <i>Workplace Experience Survey</i> to gather employee perceptions of several topics, including recruitment and hiring. OEE0 will use results from these survey data in combination with the data already gathered to inform recommendations for Agency consideration.</p> <p>OMWI conducted outreach at colleges/universities with a high population of female students and participated in career and branding events to increase the female candidate talent pool. In FY 2017, OMWI participated in career fairs at numerous colleges/universities.</p>

Fiscal Year	Accomplishments
FY 2018	<p>During FY 2018, OEEO concluded the planned data collection and made significant progress in the interpretation of data gathered in this study. The following provides detail about OEEO's analytic work.</p> <ol style="list-style-type: none"> <li>1. OEEO conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, recruitment and hiring for mission critical positions. OEEO analyzed 1,360 responses and narrative responses from 469 employees. Analyses compare male and female responses on a variety of index and item level results. Among the respondents were: <ul style="list-style-type: none"> <li>— 219 responses from employees who self-identified as accountants, 23.9% of the total population of permanent and temporary accountants on rolls. Narrative comments were received from 75 accountants.</li> <li>— 26 responses from employees who self-identified as economists, 25.5% of the total population of permanent and temporary economists on rolls. Narrative comments were received from eight economists.</li> <li>— 86 responses from employees who self-identified as securities compliance examiners, 25.7% of the total population of securities compliance examiners on rolls. Narrative comments were received from 26 securities compliance examiners.</li> </ul> </li> <li>2. OEEO conducted a series of individual and group interviews with SEC leadership in Divisions and Offices that employ accountants, economists, and securities compliance examiners focused on recruitment and hiring procedures and practices at the Agency. Thirty-two leaders participated in these interviews. Interview data described the practices that were more successful in ensuring equality of opportunity across the stages of the SEC's hiring process.</li> <li>3. OEEO's data team investigated available benchmark data to understand better the participation rate of women among applicants to MCOs. Beyond the EEO Tabulation, we researched and summarized data from: <ul style="list-style-type: none"> <li>— the Public Use Microdata Sample (iPUMS) that allowed filtering within occupation by industry, sector, subsector, and earnings for trends across years more recent than 2010;</li> <li>— FEDScope data on federal accountants, economists, and financial examiners employed by Agency and salary data;</li> <li>— Prior reporting from the EEOC and the GAO on women and minorities in the financial sector in the management and professional ranks;</li> <li>— O*Net information about the educational background of accountants; and</li> <li>— EEO-1 data on women and men in professional occupations in the financial sector.</li> </ul> </li> <li>4. OEEO used a series of self-service workforce data summary tools to review data on the demographic composition within these specific occupations of the entire workforce, newly hired staff, AFD, and separations by critical organizational characteristics.</li> <li>5. OEEO investigated more fully applicant flow data (AFD) over the five year period from FY 2013 through FY 2017. AFD demonstrate the important effect of posting options and targeted recruitment on the referral of women in these occupations. In comparison to AFD from postings for more targeted recruitment, postings open to the public for all U.S. citizens to apply experienced a steeper decline in the participation rate of women between those deemed qualified and those referred for hiring manager consideration.</li> <li>6. Social science research on decision making and behavioral economics suggested areas in which the Agency can do more to help men and women demonstrate their qualifications when applying for mission critical positions.</li> <li>7. Data for this study were compiled and presented to SEC leadership in a series of briefing sessions to share summary research results in which more than 30 senior leaders across the Agency participated.</li> </ol> <p>Within the constraints of the hiring freeze that continued from FY 2017, OMWI worked to target recruiting to attract women and minorities into MCOs, including female accountants, economists, and securities compliance examiners.</p>

Fiscal Year	Accomplishments
FY 2019	<p>During FY 2019, OEEO shared the analytic results from this study with leadership across the Commission as the basis for taking action toward improvement. This study is now closed and transitioned to a monitoring phase. The following provides detail about these communication efforts.</p> <ul style="list-style-type: none"> <li>• In early FY 2019, OEEO completed the series of briefings for executives in the Divisions and Offices involved in hiring for MCO positions. This series of briefings culminated in sharing summary results to the Operations Steering Committee (OSC). These briefings suggested practical action to support MCO hiring.</li> <li>• OEEO consulted with Division and Office leadership as the Agency emerged from the hiring freeze first implemented in FY 2017. OEEO leadership jointly, with OHR and OMWI, conducted briefings with the Divisions and Offices where replacement and additional MCO hiring was planned for FY 2019. These briefings emphasized the actions that would support recruiting and hiring a more diverse pool of candidates, including a higher proportion of women. OEEO then consulted with hiring officials in their efforts to define vacancy posting language for both home office and regional hiring.</li> <li>• SEC Divisions and Offices began planning focused on the two opportunities for improvement: (1) adopting process improvements to help ensure high-quality decision-making at the referral stage of the application process; and (2) increasing early career recruitment (at lower earnings or SK-levels) to access candidate pools with greater gender diversity, consistent with operational needs.</li> <li>• Toward the close of FY 2019, OEEO planned a second inter-Agency information sharing session related to barrier analysis. That session was held on September 23, 2019. OEEO welcomed 27 representatives from 20 agencies with whom OEEO has developed strong relations. EEOC OFO representatives involved directly in supporting barrier analysis work also participated in the information sharing session. In hopes of sharing approaches, methods, and learnings from this analysis, OEEO covered content specific to applicant flow data. <ul style="list-style-type: none"> <li>— OEEO invited Scott Salvati from OPM to discuss current and anticipated changes to AFD reporting in support of the EEO community.</li> <li>— OEEO shared how benchmark data sources, qualitative data gathered for this study, and analyses of AFD were combined to form a solid analytic base in data driving decisions by Agency leadership.</li> </ul> </li> <li>• OEEO began designing an evaluation plan to monitor results of actions taken in support of the two opportunities for improvement. <ul style="list-style-type: none"> <li>— OEEO captured Division and Office initial plans and activity for tracking immediate actions and monitoring later participation of women in AFD; and</li> <li>— OEEO's data analysts reviewed all vacancy postings for MCO positions announced after the hiring freeze was lifted at mid-year, i.e., from May or later. In early October, vacancy language was assessed for readability and clarity of requirements to close out this analysis.</li> <li>— The SEC has agreed to implement the practice of posting all fellowship opportunities to USAJOBS, which will enable better monitoring of this pathway into MCOs.</li> </ul> </li> </ul> <p>OEEO will continue to monitor summary results in the workforce data tables for MCO positions, with emphasis on AFD going forward.</p>

## STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

### Section III:

#### Analysis of Discretionary Cash and Time-Off Awards

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis of discretionary cash and time-off awards data	Table A9	<p>The distribution of discretionary cash and time off awards, in both the number and amount, show differences for specific demographic groups, including men, women, employees in specific race and ethnic groups, and employees with disabilities.</p> <p>In FY 2014, females were given more time-off awards than males (approximately 52% to females and 48% to males) and males received more cash awards (between 51% and 55%) than females. For cash awards of \$501 or more, males received an average award of \$1,580 while females received an average award of \$1,422. Members of some minority groups received lower cash awards compared to other demographic groups.</p> <p>Cash awards in FY 2014 for individuals with disabilities were, on average, \$1,120.</p>

#### EEO Group(s) Affected by Trigger

EEO Group	
All Men	X
All Women	X
Hispanic or Latino Males	X
Hispanic or Latino Females	X
White Males	X
White Females	X
Black or African American Males	X
Black or African American Females	X
Asian Males	X
Asian Females	X
Native Hawaiian or Other Pacific Islander Males	X
Native Hawaiian or Other Pacific Islander Females	X
American Indian or Alaska Native Males	X
American Indian or Alaska Native Females	X
Two or More Races Males	X
Two or More Races Females	X

### Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	Workforce data tables, especially Tables A13 and B13 from the FY 2012 – FY 2017 MD-715 reports
Complaint Data (Trends)	Yes	EEO complaints filed between FY 2012 – FY 2017 where the distribution of awards was an issue raised
Grievance Data (Trends)	Yes	Grievances filed between FY 2013 – FY 2017 on actions related to discretionary cash and time-off awards
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable.
Climate Assessment Survey (e.g., FEVS)	Yes	Employee survey data from the Agency's FEVS on indices and items related to recognition and awards  <i>Workplace Experience Survey</i> responses related to recognition and awards
Exit Interview Data	Yes	Employee survey data from the Agency's exit survey to understand the relationship between awards and retention
Focus Groups	Yes	Group interviews with regional leadership that included discussion of awards and recognition practices and procedure
Interviews	Yes	Interviews with subject matter experts in OHR and Office of Financial Management  Individual interviews with Division and Office leaders that included discussion of their awards and recognition practices
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Reports from the Agency's Office of Inspector General (OIG), OHR, and from the Government Accountability Office (GAO) detailing prior analyses of personnel management practices, including those related to employee recognition and awards
Other (Please Describe)	Yes	Distribution of discretionary time-off and cash awards documented in the Federal Personnel Payroll System from FY 2013 – FY 2017

### Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

### Statement of Identified Barrier(s)

Barrier Name* (required)	Description of Policy, Procedure, or Practice
Analyses of discretionary cash and time-off awards	<p>Based on data summarized in this study, OEEO identified opportunities to improve awards distribution practices for both discretionary cash and time-off awards. OEEO worked with leadership across the Commission to support action in the following areas:</p> <ul style="list-style-type: none"> <li>• Institute review and monitoring for who receives awards</li> <li>• Reduce constraints for when discretionary awards are distributed</li> <li>• Expand the criteria for what contributions are considered for award</li> <li>• Provide management support for how to submit and review awards</li> </ul>

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
Identify and present action options for Agency consideration to help address observed group differences in the Agency's employee recognition program	03/16/2016	09/30/2020	Yes	01/31/2020	

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEEO	Peter J. Henry	Yes
Chief Human Capital Officer, OHR	Jamey McNamara	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of recognition and awards.		11/06/2017
12/31/2017	OEEO will integrate and interpret quantitative and qualitative data, statistical results, trends across years, root causes, and identified triggers.		07/31/2018
03/31/2018	OEEO will expand statistical analysis and trends over time to cover discretionary cash and time-off awards distribution, to consider other discretionary awards (e.g., gift cards), and to consider how different variables may interact in their effects on groups of employees.		09/27/2018
06/30/2019	OEEO will work to summarize and interpret the research results listed above as the basis for identifying any areas of opportunity for improvement in ensuring equal employment opportunity in the Agency's employee recognition program.		6/27/2019
11/01/2019	To the extent areas needing improvement in recognition and awards processes are found, the SEC will begin to develop an action plan to help foster equal employment opportunity.		6/27/2019
09/30/2020	OEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	01/31/2020	

## Report of Accomplishments

Fiscal Year	Accomplishments
<p><b>FY 2016</b></p>	<p>OEE0 completed in depth statistical analysis of awards and other quantitative data and has summarized data from document reviews and interviews. Analyses showed evidence of improvement over time in the observed triggers related to the distribution of awards. In contrast to overall Agency-wide results, statistical modeling showed that the number and value of awards granted to women and men, some minority groups, and persons with disabilities provided evidence of fewer areas of concern for equal employment opportunity in recent years. Processing and procedural improvements instituted since triggers were originally observed positively impacted the awards program.</p> <p>In FY 2015, OHR updated its guidance on the parameters to be used by management when developing both monetary and time-off award recommendations. The guidance was created to provide a more consistent approach to motivating and recognizing employees' contributions.</p> <p>OEE0 designed a <i>Workplace Experience Survey</i> to gather employee perceptions on several topics, including recognition and awards. The survey data were slated to be used in combination with the statistical data already summarized to inform recommendations for the Agency's consideration.</p>
<p><b>FY 2017</b></p>	<p>During FY 2017, OEE0 conducted a series of analyses on the distribution of discretionary cash and time off awards. This set includes review of:</p> <ul style="list-style-type: none"> <li>• Statistical analyses of the overall distribution of and multiple regression results predicting cash and time-off awards across FY 2013 – FY 2016 to explore the contribution of gender, race/ethnicity, disability, and age that may influence award distributions beyond the effects of known organizational characteristics, e.g., pay band or SK-level;</li> <li>• Analysis to understand the trends over time, to investigate more complex or interaction models, and to investigate the influence of budgetary limits on award distribution;</li> <li>• The perceptions of staff about the employee recognition program; and</li> <li>• Research literature, formally established policies, collective bargaining agreement language, and reports to understand recognition and award processes better.</li> </ul> <p>OEE0 conducted structured research activities to explore the data, including:</p> <ul style="list-style-type: none"> <li>• Applying parametric and non-parametric methods of statistical analysis within and across fiscal years;</li> <li>• Defining multiple criterion measures for both the number and amount of awards distribution;</li> <li>• Tracking statistical results across fiscal years to understand the relative influence of budgetary limits and process improvement on awards distribution;</li> <li>• Borrowing root cause analysis methods from the Lean Six Sigma and Continuous Improvement research tradition to explore alternative explanations related to observed triggers in the distribution of awards; and</li> <li>• Investigating the critical steps in the Agency's award processes using structured questioning methods suggested by EEOC guidance that help support root cause identification.</li> </ul>
<p><b>FY 2018</b></p>	<p>The following provides detail about OEE0's analytic work conducted in FY 2018 in support of this analysis.</p> <ol style="list-style-type: none"> <li>1. OEE0 conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, recognition and retention. The survey was conducted between October 11, 2017 and November 6, 2017, and generated 1,360 responses for analysis. OEE0's analyses compared responses from those who self-identified as belonging to different employee groups on a variety of index and item level results, including results specific to awards, recognition, and retention.</li> <li>2. OEE0 analyzed the number and percent of EEO complaints filed regarding the issue of awards between FY 2013 and FY 2017. Results from the small volume of such complaint activity include a disproportionate number from African American employees. The small sample sizes included limit the reliability and conclusions to be drawn from these data.</li> <li>3. In FY 2018, OEE0 expanded the statistical analyses conducted in FY 2017 to understand the incidence rate across groups, including non-recipients, in addition to exploring the differences observed among award recipients. Additional statistical modeling or analysis improved understanding of the effects of: timing, frequency, differences in practices for individual versus group awards, procedural guidance, and interactions between Division or Office practices on discretionary cash and time off awards to employees in various demographic groups.</li> <li>4. OEE0 reviewed data from the Agency's gift card program since its inception in FY 2016 to understand how this more informal recognition program may differ from other parts of the Employee Recognition Program in relation to the research described here.</li> <li>5. OEE0 gathered qualitative data from individual and group interviews about the practices and procedures followed in different Divisions and Offices related to awards and recognition.</li> </ol>

Fiscal Year	Accomplishments
FY 2019	<p>The following provides detail about OEEEO's work conducted in FY 2019 in support of this analysis. OEEEO continued and completed statistical analysis of data on discretionary cash and time-off awards and observed the following:</p> <ol style="list-style-type: none"> <li>1. Holding other organizational characteristics related to awards constant, OEEEO did not observe consistent statistical disparities by gender, Hispanic ethnicity, or disability status on awards distribution. Consistent disparities were observed in both the amount and number of awards distributed by race. African American and Asian employees received fewer and/or lower value awards in each year studied.</li> <li>2. A statistical relationship exists between the timing of awards decisions across the annual performance cycle and demographic distribution, holding other factors constant. Results demonstrate the value of stronger focus on managerial review and monitoring of awards distribution later in the year. Awards distributed later in the year demonstrated fewer statistically significant disparities.</li> <li>3. Differences year-over-year in the amount and distribution of awards in combination with organizational changes associated with the total available budget, electronic system implementation, and a growing acceptance of alternative work arrangements provided some explanations for observed awards distribution. Data suggested that the benefit of additional review and focus on the awards program diminishes over time as less attention is paid to the challenges.</li> <li>4. Data on the volume of awards granted to individual employees in combination with distribution by award type, group versus individual, and a structured review of policy and procedures for the Employee Recognition Program confirm that award criteria favor individual contributions over collaborative work. Further, minority group members were more likely to receive group awards which may result from receiving fewer assignments that lead to individual recognition.</li> </ol> <p>The analysis of awards data led to the identification of the four areas defined above, focused on who receives awards, when they are distributed (within and across year), for what contributions awards are given, and how awards are justified and reviewed.</p> <p>OEEEO began sharing the results of this analysis with Agency leadership in the second half of FY 2019. OEEEO conducted eight leadership briefings with senior leadership. Based on OEEEO's briefings and information sharing, Agency leadership initiated several efforts toward process improvement.</p> <ol style="list-style-type: none"> <li>1. OHR and OEEEO formed a working group to determine feasible changes to refine the Employee Recognition Program toward improving managerial decision-making accountability, and review processes, as well as defining collaborative work appropriate for awards at different tiers in the awards program.</li> <li>2. OEEEO met with leadership from various Divisions and Offices in service to improving reporting on awards distribution.</li> </ol> <p>Toward the close of FY 2019, OEEEO planned a second inter-Agency information sharing session related to barrier analysis. That session was held on September 23, 2019. OEEEO welcomed 27 representatives from 20 agencies with whom OEEEO has developed strong relationships. EEOC OFO representatives involved directly in supporting barrier analysis work also participated in the information sharing session. In hopes of sharing approaches, methods, and learnings from this analysis, OEEEO covered content specific to the various research methods and statistical analyses applied for this study. In particular, OEEEO shared:</p> <ul style="list-style-type: none"> <li>• An overview of the methods applied to account for the simultaneous influence of organizational and personal characteristics on awards distribution.</li> <li>• Statistical indications of differences in distribution over the performance cycle that suggest a difference in awards processes earlier versus later in the fiscal year.</li> </ul>

## STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

### Section IV:

#### Analysis of the Accounting Occupation

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis by gender in the accounting occupation	Tables A6	<p>The participation rate of women in accounting positions at the Agency is lower than expected based on their availability; this condition may be impacted at different stages of the employment lifecycle, i.e., recruitment, selection, development, and retention of accountants.</p> <p>In FY 2014, female accountants at the SEC, and in particular, White female accountants, had participation rates lower than the OCLF (over 16 percentage points). The White female accountant OCLF is 44.23%, whereas White females comprised 27.52% of the SEC's accountants.</p>

#### EEO Group(s) Affected by Trigger

EEO Group	
All Men	
All Women	X
Hispanic or Latino Males	
Hispanic or Latino Females	X
White Males	
White Females	X
Black or African American Males	
Black or African American Females	X
Asian Males	
Asian Females	X
Native Hawaiian or Other Pacific Islander Males	
Native Hawaiian or Other Pacific Islander Females	X
American Indian or Alaska Native Males	
American Indian or Alaska Native Females	X
Two or More Races Males	
Two or More Races Females	X

## Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	<p>Workforce data tables and participation rates for women in the accounting occupation from FY 2013 – FY 2019</p> <p>Applicant flow, new hire, and competitive promotion data from FY 2013 – FY 2019 for the accounting occupation</p> <p>Benchmark data available from the Census Bureau that provide more detail into the participation of women in the civilian labor force</p>
Complaint Data (Trends)	Yes	EEO complaint activity filed between FY 2012 – FY 2017 to identify any trends in complaints filed by applicants or employees in the accountant occupation
Grievance Data (Trends)	Yes	Grievances filed by accountants between FY 2013 and FY 2018
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable
Climate Assessment Survey (e.g., FEVS)	Yes	<p>Federal Employee Viewpoint Survey (FEVS) data on indices and items related to recruiting, hiring, promotion, training and career development</p> <p>Employees' responses to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018 regarding recruiting, hiring, career development, promotion, recognition, and retention</p>
Exit Interview Data	Yes	Employee survey data from the Agency's exit survey to understand better the reasons for voluntary separation
Focus Groups	Yes	Focus group interviews with Regional Office leaders about the procedures and practices for career development, promotion, recognition, and retention of accountants
Interviews	Yes	<p>Interviews with subject matter experts in OHR, SECU, and OMWI about recruitment, hiring, and career development for accountants at the Agency</p> <p>Interviews with Diversity and Inclusion leadership at the "Big Four" public accounting firms (i.e., Deloitte, EY, KPMG, and PwC)</p> <p>Individual interviews with Agency leaders at Headquarters about the procedures and practices for career development, promotion, recognition, and retention of accountants</p>
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for the accountant occupation in the civilian labor force and the federal workforce
Other (Please Describe)	Yes	<p>Records related to employee telework schedules and usage from FY 2013 – FY 2019</p> <p>Pay scales and compensation levels among the Agency's encumbered grade levels in the accountant occupational series</p> <p>Position descriptions and vacancy announcements for the job of accountant</p> <p>Training records from SF-182 on requests for internal and external training submitted by SEC accountants through the learning management system</p> <p>More than 300 resumes submitted during FY 2015 by applicants for accountant vacancies</p> <p>Written policies and formally established procedures affecting the employment of women, and in particular, the employment of women in accountant positions</p> <p>Research literature, collective bargaining agreement language, and reports to better understand career development, promotion, retention, or recruiting and hiring processes for the accounting occupation</p> <p>Information about best practices in recruiting women in accounting in the federal government and private industry</p>

Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

Statement of Identified Barrier(s)

Barrier Name* (required)	Description of Policy, Procedure, or Practice
Analysis of women in accounting	No barrier has yet been identified

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
<p>As of September 30, 2018, the following areas were identified for further analysis and review:</p> <ul style="list-style-type: none"> <li>Processes for the career development and promotion of accountants</li> <li>Career progression and workforce planning within the SEC's accountant occupation</li> </ul> <p>To the extent areas of improvement for female accountants at the Agency are found, the SEC will develop an action plan to help foster equal employment opportunity.</p>	03/01/2017	3/31/2021	Yes	06/30/2020	

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEEO	Peter J. Henry	Yes
Chief Human Capital Officer, OHR	Jamey McNamara	Yes
Director, OMWI	Pamela Gibbs	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore perceptions of different aspects of the employee lifecycle among accountants.		11/6/2017
06/30/2018	OEEO will continue review and analysis of quantitative and qualitative data on career development, promotion, and retention processes for the accountant occupation.		07/31/2018
05/31/2020	Compile and share results from interviews and focus groups conducted with Accountant incumbents.		
06/30/2020	Update analyses with FY 2019 workforce data and FY 2020 qualitative data collection.		
10/31/2020	The SEC will begin to identify actions as appropriate to help foster equal employment opportunity.	04/30/2020	
12/31/2020	OEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	06/19/2020	
02/28/2021	Briefings for Division and Office leadership for the accountant workforce.		
03/31/2021	OEEO Director initiates project close out and transition to ongoing monitoring.		

Report of Accomplishments

Fiscal Year	Accomplishments
<b>FY 2017</b>	<p>OEEO conducted structured research activities to explore the data analyzed, including:</p> <ol style="list-style-type: none"> <li>1. Developing and implementing procedures to conduct qualitative coding and analysis methods for interview and resume data;</li> <li>2. Borrowing root cause analysis methods from the Lean Six Sigma and Continuous Improvement research tradition to explore alternative explanations related to triggers; and</li> <li>3. Investigating the critical steps in the Agency's career development, retention, recruiting, and hiring processes using structured questioning methods suggested by EEOC guidance that help support root cause identification.</li> </ol> <p>OEEO analyzed workforce and other quantitative data and has summarized data from reviews of written policies or formally established procedures affecting the recruitment and hiring of women in the accounting profession at the SEC, as well as interviews and focus groups related to the recruiting and hiring of accountants. OEEO continues to review, analyze, and summarize data on the career development and retention of men and women in the Agency's accountant occupation.</p> <p>OEEO designed a <i>Workplace Experience Survey</i> to gather employee perceptions on several topics, including career development, promotion, retention, and recruiting and hiring. OEEO will use the survey data gathered from men and women in the accounting occupation in combination with data already gathered and anticipated to inform recommendations for Agency consideration.</p> <p>OMWI conducted outreach at colleges/universities with a high population of female students and participated in career and branding events to increase the female candidate talent pool. At three of these schools, OMWI focused on the universities' accounting programs to attract a strong female accounting talent pool.</p>

Fiscal Year	Accomplishments
FY 2018	<p>During FY 2018, OEEO concluded the planned data collection as part of this study. The following provides detail about OEEO's analytic work.</p> <ol style="list-style-type: none"> <li>1. OEEO conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, promotional opportunity, recruitment, and hiring for leadership positions. OEEO analyzed 1,360 responses and narrative comments from 469 employees. Among the respondents were 219 responses from employees who self-identified as accountants, 24.4% of the total population of accountants on rolls. Narrative comments were received from 75 accountants. Analyses compared male and female accountant responses on a variety of index and item level results. Accountants reported the most favorable results in the areas of: interview processes, supervisory relations, flexible work arrangements, training for success within occupation, and work team inclusion.</li> <li>2. OEEO conducted a series of individual and focus group interviews with SEC leadership in divisions and offices that employ accountants between March and May of 2018. Discussion focused on roles, reporting relationships, career development, recognition, and retention. Thirty-one leaders participated in this series of interviews.  Interview data and position descriptions describe five general roles for accountants at the SEC. These roles require overlapping and unique training and development.</li> <li>3. OEEO's data team investigated available benchmark data to understand better the participation rate of women in the accounting profession. Beyond the EEO Tabulation, we researched and summarized data from: <ul style="list-style-type: none"> <li>— the Public Use Microdata Sample (iPUMS) that allowed filtering within occupation by industry, sector, subsector, and earnings for trends across years more recently than 2010</li> <li>— FEDScope data on federal accountants employed by Agency and salary data</li> <li>— O*Net information about the educational background of accountants</li> <li>— Reports compiled from membership in the American Institute of Certified Public Accountants (AICPA)</li> </ul> </li> <li>4. OEEO used a series of self-service workforce data summary tools to review data on the demographic composition within specific occupations of the entire workforce, newly hired staff, AFD, and separations by critical organizational characteristics.</li> <li>5. Workforce planning and promotions data provided information about the reporting relationships and career progression of accountants at the SEC.</li> <li>6. Training records and qualitative data demonstrate strong support for the technical training of accountants, often in service to continuous education for certification.</li> </ol> <p>OHR and OMWI continued to make significant enhancements to the SEC's training and development programs, which provide support for the career growth of women in accounting. As described in Part E and in Part J Section IV, the SEC added to the offerings within its career development program.</p> <ul style="list-style-type: none"> <li>• OHR developed and worked with NTEU to finalize a Competency Assessment Survey to inform workforce planning efforts and shape the future of SEC-wide training and development programs. The survey was launched in September 2018, and data collection continued into the new fiscal year.</li> <li>• SECU expanded offerings under the <i>Career Horizons</i> program that provide individualized support for employees in creating development plans and pursuing career growth.</li> </ul> <p>Within the constraints of the hiring freeze from FY 2017, OMWI continued to target recruiting to attract women and minorities into mission critical occupations, including female accountants.</p>

Fiscal Year	Accomplishments
FY 2019	<p>During FY 2019, OEEO conducted additional analysis and expanded planned data collection as part of this study. The following provides detail about this analytic work.</p> <p>OEEO conducted analyses that revealed no evidence of gender differences in employee retention or participation in training and development opportunities. In light of other ongoing barrier analytic work, OEEO deferred further consideration of recognition or awards and recruitment or hiring as a focus on this study. OEEO focused further analysis on three specific areas:</p> <ul style="list-style-type: none"> <li>• The internal competitive promotion process;</li> <li>• Work-life flexibilities offered by the telework program; and</li> <li>• Organizational structure and changes in the volume of employees at different SK-levels over time.</li> </ul> <p>With regard to telework, OEEO reviewed trend data over the time period of study from FY 2014 through FY 2018. In this period:</p> <ul style="list-style-type: none"> <li>• Participation in regular or frequent telework among the total employee population and among male and female accountants increased significantly between FY 2014 and FY 2018 (from 55% of male accountants to 73% and from 61% to 78% of female accountants).</li> <li>• Participation among both male and female accountant supervisors showed greater gains in the time period of study (from 31% of male accountant supervisors to 57% and from 36% to 57% among female accountant supervisors). The largest gains in participation occurred between FY 2014 and FY 2015.</li> <li>• Contrary to expectation, statistical analysis showed that moderate levels of regular telework were associated with a higher likelihood of applying for promotion.</li> <li>• Trend analysis of organizational structures helped uncover occupational changes that impact the career mobility of accountants on rolls.</li> <li>• There have been declines in the overall accountant population size with specific divisions and offices. Those data also showed coincident increase in the volume of employees in other occupations. Declining population size was concentrated in certain leadership SK-levels.</li> <li>• A large proportion of accountants are relatively long tenured; individual compensation has progressed toward the top of the salary band for accountants at the full performance level.</li> <li>• The pay bands for SK-14 accountants at the full performance level with greater experience and first level supervisors with fewer years of experience significantly overlap, a fact that may impact an employee's career decision-making.</li> <li>• Preliminary analysis of internal competitive promotion data for accountants suggests a gender difference in the propensity to seek promotion. Regression modeling suggests that these differences occur for similarly situated employees.</li> </ul> <p>Insights gained from these analyses suggested the need to understand more fully an incumbent's decision to seek promotion. OEEO approached Union representatives for support in reaching out to gather data from bargaining unit employees. OEEO has extended the timeline for this study to incorporate this expanded data collection. Toward the close of FY 2019, OEEO planned a second inter-Agency information sharing session related to barrier analysis. That session was held on September 23, 2019. OEEO welcomed 27 representatives from 20 agencies with whom OEEO has developed strong relations. EEOC OFO representatives involved directly in supporting barrier analysis work also participated in the information sharing session. In hopes of sharing approaches, methods, and learnings from this analysis, OEEO covered content specific to our analysis of how comparisons of accountants working different scheduled of telework show different patterns in applying for promotion to supervisory levels.</p> <p>OHR developed and worked with NTEU to administer Competency Surveys to all employees and managers in November/December 2018. The responses from the surveys were integrated into a holistic view via an Agency dashboard and enables managers to understand real (or perceived) gaps for action planning at the local level. Efforts by OHR for FY 2020 include action planning at the SEC-level with regard to the 'top five' competencies with the largest gaps.</p>

## STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

### Section V:

#### Analysis of the Attorney Occupation

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis of male attorneys	Table A6	<p>The participation rate of men in attorney positions at the Agency is lower than expected based on their availability in the attorney OCLF; this condition may be impacted at different stages of the employment lifecycle, i.e., recruitment, selection, development, and retention of male attorneys.</p> <p>Male attorneys at the SEC had participation rates lower than the OCLF (by 9.10 percentage points) in FY 2014. Male attorneys comprised 66.70% of the OCLF and 57.60% of the SEC's attorney workforce.</p>

#### EEO Group(s) Affected by Trigger

EEO Group	
All Men	X
All Women	
Hispanic or Latino Males	X
Hispanic or Latino Females	
White Males	X
White Females	
Black or African American Males	X
Black or African American Females	
Asian Males	X
Asian Females	
Native Hawaiian or Other Pacific Islander Males	X
Native Hawaiian or Other Pacific Islander Females	
American Indian or Alaska Native Males	X
American Indian or Alaska Native Females	
Two or More Races Males	X
Two or More Races Females	

## Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	Workforce data tables and participation rates from FY 2012 – FY 2018 to review the participation rates for men in the total workforce and in the attorney occupation  Available applicant flow data for attorney hiring from FY 2012 – FY 2018
Complaint Data (Trends)	No	
Grievance Data (Trends)	Yes	Grievances filed by attorneys between FY 2014 and FY 2018
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable
Climate Assessment Survey (e.g., FEVS)	Yes	Federal Employee Viewpoint Survey (FEVS) data on indices and items related to recruiting, hiring, promotion, training, and career development  Employees' responses to a survey conducted by a vendor in July 2014 regarding promotions at the SEC  Employees' responses to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018 regarding recruiting, hiring, career development, promotion, recognition, and retention
Exit Interview Data	Yes	Employee data for the Agency's exit survey to better understand the reasons for the voluntary separation among attorneys.
Focus Groups	No	
Interviews	Yes	Interviews with subject matter experts in OHR and OMWI
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Audit reports regarding personnel management at the SEC based on research from GAO  Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for the attorney occupation in the civilian labor force and the federal workforce
Other (Please Describe)	Yes	Attorney position descriptions by grade level and across divisions/offices  Vacancy announcements posted publicly  Attorney demographic trends in private law practice, in particular, large law firms, and as in-house counsel  Literature and reports published by, among others, the National Association of Legal Placement and the American Bar Association to better understand recruiting, hiring/lateral hiring, training, and promotion processes and practices at private law firms  Reports published by, among others, the American Bar Association, Minority Corporate Counsel Association, and Institute for Inclusion in the Legal Profession about best practices in recruiting and retaining attorneys, particularly, minority male attorneys in the federal government and law firms

## Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

Statement of Identified Barrier(s)

Barrier Name* (required)	Description of Policy, Procedure, or Practice
Analysis of male attorneys	No barrier has yet been identified

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
Investigate processes across the employment lifecycle for men in the attorney occupation to determine any areas needing improvement and begin developing action plans to help foster equal employment opportunity.	07/15/2017	10/31/2021	Yes	10/31/2020	

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEEO	Peter J. Henry	Yes
Chief Human Capital Officer, OHR	Jamey McNamara	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore perceptions of different aspects of the employee lifecycle among attorneys.		11/06/2017
06/30/2018	OEEO will begin reviewing written procedures and formally established procedures affecting the lifecycle of employees in the attorney occupation as they may differ from those policies and procedures applicable to other occupations.		6/30/2018
06/30/2019	OEEO will begin conducting interviews and/or focus groups with subject matter experts involved in the recruitment, hiring, development, recognition, and retention of attorneys.		06/30/2019
09/30/2020	OEEO will begin to conduct quantitative analysis of new hire and separations data to inform barrier analysis.		
01/01/2021	OEEO will begin integrating and interpreting quantitative and qualitative data, trends across year, root causes, and identified triggers to establish evidence for any areas in need of improvement.	01/31/2019	
04/30/2021	The SEC will begin to identify actions as appropriate to help foster equal employment opportunity.	07/31/2020	
6/30/2021	OEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	10/30/2020	
8/31/2021	Briefings for Division and Office leadership for the attorney workforce.		
10/31/2021	OEEO Director initiates project close out and transition to ongoing monitoring.		

Report of Accomplishments

Fiscal Year	Accomplishments
<b>FY 2018</b>	<p>The following provides detail about analytic work OEEO conducted in FY 2018 in support of this analysis:</p> <ol style="list-style-type: none"> <li>Continued to analyze applicant flow data for attorney hiring.</li> <li>Researched and reviewed trends in demographics by gender and race and ethnicity of attorneys working in private law firms and as in-house counsel.</li> <li>Reviewed vacancy announcements and relevant written policies and procedures related to the employment of attorneys at the SEC.</li> <li>Conducted more detailed research and analysis on attorney labor force demographics by gender, industry, and earnings brackets. These data help determine the availability of male attorneys in the applicant pool from which the SEC hires.</li> <li>Analyzed SEC workforce data on the number and participation of permanent attorneys by gender, race, ethnicity, Division/Office, and grade starting at SK-11 through SO.</li> <li>Conducted research to better understand successful recruiting, hiring, lateral transfer, training, promotion, and retention processes and practices for attorneys working in private law firms, corporate America, and the federal government.</li> </ol>
<b>FY 2019</b>	<p>The following provides detail about analytic work OEEO conducted in FY 2019 in support of this analysis:</p> <ul style="list-style-type: none"> <li>Interviewed subject matter experts in OHR and OMWI regarding recruitment and hiring under the attorney hiring policy and procedures.</li> <li>Analyzed data regarding new hires, promotions, and separations of attorneys.</li> <li>Began reviewing records documenting applicant flow and selection decisions for specific attorney vacancy postings.</li> <li>Began reviewing available Exit Survey data to better understand the reasons attorneys are voluntarily separating from the Commission.</li> </ul>

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# SPECIAL PROGRAM PLAN FOR THE RECRUITMENT, HIRING, ADVANCEMENT, AND RETENTION OF PERSONS WITH DISABILITIES (PART J)

To capture agencies' affirmative action plan for persons with disabilities (PWD) and persons with targeted disabilities (PWTD), EEOC regulations (29 C.F.R. § 1614.203(e)) and MD-715 require agencies to describe how their plan will improve the recruitment, hiring, advancement, and retention of applicants and employees with disabilities. All agencies, regardless of size, must complete this Part of the MD-715 report.

## SECTION I: EFFORTS TO REACH REGULATORY GOALS

EEOC regulations (29 C.F.R. § 1614.203(d)(7)) require agencies to establish specific numerical goals for increasing the participation of persons with reportable and targeted disabilities in the federal government.

1. Using the goal of 12% as the benchmark, does your Agency have a trigger involving PWD by grade level cluster in the permanent workforce? If “yes”, describe the trigger(s) in the text box.

a. Cluster GS-1 to GS-10 (PWD)	Yes 0	No <b>X</b>
b. Cluster GS-11 to SES (PWD)	Yes <b>X</b>	No 0

This report presents results for both persons with disabilities (PWD) and persons with targeted disabilities (PWTD) calculated in cluster results based on the locality adjusted salary specified in the revised regulations implementing Section 501 of the Rehabilitation Act of 1973, compared to the locality adjusted salary of a GS-11, step 1, in the Washington, DC area. For FY 2019, that salary was \$69,581. Participation of PWD and PWTD are presented to assess against the specific numerical goals found in EEOC regulations to identify the presence of any triggers. A trigger is a trend, difference, variance, outlier, or anomaly that suggests the need for further inquiry into a particular policy, practice, procedure, or condition. Statistics are only a starting point for analysis, which considers the totality of the circumstances.

For employees with salaries below a GS-11, step 1, the Agency achieved the numerical goal for PWD participation; 43.75% of employees in this cluster were PWD compared to the 12% benchmark. *See Table B5-1.*

*Continued on the next page*

In FY 2019, SEC included permanent and temporary employees hired under authorities that take disability into account as PWD under hiring authority pursuant to EEOC regulation. In this report, permanent and temporary employees who are not self-identified on standard form 256 (SF-256) and whose personnel record documents veterans' preference for hiring as "*CPS—preference based on compensable service-connected disability of 30% or more*" are included in the total PWD workforce data tables. Similarly, permanent and temporary employees not self-identified on SF-256 and whose personnel record documents that they were hired or converted into the competitive service under Schedule A, part u (5 C.F.R. § 213.3102(u) *Appointment of persons with intellectual disabilities, severe physical disabilities, or psychiatric disabilities*) are included in the total PWD workforce for purposes of utilization analysis. This action added 41 permanent employees to the PWD workforce data. The workforce data tables included with this report<sup>40</sup> and the analyses described in Parts J and below reflect this change. Prior year data for such employees was updated for comparison.

For employees with locality adjusted salaries above a GS-11, step 1, the Agency did not achieve the numerical goal involving PWD; 8.59% of employees in this cluster were PWD compared to the 12% benchmark. While the numerical goal was not achieved, the current participation rate represents an increase of 2.24 percentage points since the end of FY 2015. Between FY 2015 and FY 2019, the participation of PWD in the total workforce increased from 6.57% to 8.64%; participation increased in both the lower and higher salary clusters.

2. Using the goal of 2% as the benchmark, does your Agency have a trigger involving PWTD by grade level cluster in the permanent workforce? If "yes", describe the trigger(s) in the text box.

- |  |       |             |
|--|-------|-------------|
| <b>a. Cluster GS-1 to GS-10 (PWTD)</b> | Yes 0 | No <b>X</b> |
| <b>b. Cluster GS-11 to SES (PWTD)</b>  | Yes 0 | No <b>X</b> |

Applying the same salary clusters to PWTD as previously described, the SEC achieved the numerical goal established for PWTD in the lower salary cluster during FY 2019. In the lower salary cluster, 6.25% of 16 permanent employees are PWTD. The numerical goal for PWTD among higher salaried employees was five one hundredths of a percent below the goal; 1.95% of higher salaried employees are PWTD.

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<sup>40</sup> In the workforce data Tables B1 through B9 accompanying this report, such employees are reported under the column titled "Other PWD" and combined with self-identified employees in the column titled "Total PWD". As per guidance from EEOC, in EEOC's data portal, FedSEP, SEC reports such persons in Tables B1 through B9 in the column labeled: "*Disability (02-03, 06-99)*."

3. Describe how the Agency has communicated the numerical goals to the hiring managers and/or recruiters.

Hiring goals for PWTD (i.e., 2% of the total workforce) are communicated to hiring managers during quarterly Office of Human Resources Steering Committee meetings. Additionally, metrics for disability hiring are published monthly and at the end of the year by the SEC's Office of the Chief Operating Officer. The overall percentage of employees who are PWTD is posted in the Diversity Dashboard sponsored by OMWI and the Diversity Council.

To augment these information sources, OHR implemented the Human Capital Reporting & Analytics (HCRA) dashboard in the second half of FY 2018 and continued to support managers in FY 2019. The HCRA provides, among other key human capital metrics, aggregate data on the disability status for self-identified PWD and PWTD. A series of data filters enable leaders to understand employee gains and losses within their particular Division or Office for specific occupations, grades, and duty stations. OHR plans to use this information to support Human Capital strategic planning.

Throughout FY 2019 and particularly during National Disability Employment Awareness Month in October 2018, the Agency hosted events that focused on inclusion of persons with a disability. As described later, these events were often sponsored and/or hosted by the Disability Interests Advisory Committee (DIAC). In opening and/or closing remarks, leaders noted the Agency's goals for recruiting and hiring PWD, frequently mentioning the high value such employees bring to the Agency's mission.

Relatedly, OHR has developed an updated 2020-2022 Recruitment Strategy, which describes the support and collaboration necessary from senior leadership, OEEEO, and OMWI to recruit a diverse candidate base. The Recruitment Strategy includes the following goals, among others:

- Build a pipeline of qualified Schedule A applicants; and
- Improve Veteran recruitment efforts.

The Recruitment Strategy specifically denotes an objective to "Increase workforce representation for people with disabilities and people with targeted disabilities." Specific strategies and tasks in the plan for recruitment explain how this objective will be accomplished.

*Continued on the next page*

For specific hiring actions, OHR continues to address special hiring authorities, including Schedule A, in conversations with hiring managers to reinforce progress toward achieving numerical goals. A checklist is used by OHR Staffing specialists when vacant positions are identified to ensure hiring managers understand all their options for filling positions, including using Schedule A and veterans' hiring authorities for those applicants with a service-connected disability of 30% or more.

OEEEO led periodic meetings with a cross-functional working group comprised of representatives from OHR and OMWI, including those who support recruiting, to discuss MD-715 and the Agency's progress related to equal employment opportunity, participation, and inclusion of employees and applicants for employment. For these meetings, OEEEO provided up-to-date information from the Agency workforce data tables and highlighted areas for discussion, including goals and progress related to the participation and inclusion of PWD and PWTD.

## SECTION II: MODEL DISABILITY PROGRAM

Pursuant to 29 C.F.R. § 1614.203(d)(1), agencies must ensure sufficient staff, training and resources to recruit and hire persons with disabilities and persons with targeted disabilities, administer the reasonable accommodation program and special emphasis program, and oversee any other disability hiring and advancement program the agency has in place.

### Plan to Provide Sufficient & Competent Staffing for the Disability Program

1. Has the Agency designated sufficient qualified personnel to implement its disability program during the reporting period? If “no”, describe the agency’s plan to improve the staffing for the upcoming year.

Yes **X** No 0

The Agency designates talent acquisition resources and FTE to Special Programs classification, recruitment, and staffing in support of the disability program.

2. Identify all staff responsible for implementing the Agency’s disability employment program by the office, staff employment status, and responsible official.

Disability Program Task	Number of Full-Time Equivalent Staff by Employment Status			Responsible Official (Name, Title, Office, Email)
	Full Time	Part Time	Collateral Duty	
Processing applications from PWD and PWTD	13	0	0	Kai Petty, <i>Lead HR Specialist</i> Office of Human Resources <a href="mailto:pettyka@sec.gov">pettyka@sec.gov</a>
Answering questions from the public about hiring authorities that take disability into account	13	0	0	Kai Petty, <i>Lead HR Specialist</i> Office of Human Resources <a href="mailto:pettyka@sec.gov">pettyka@sec.gov</a>
Processing reasonable accommodation requests from applicants and employees	3	0	0	Dia Gonsalves, <i>Disability Program Officer</i> Office of Human Resources <a href="mailto:gonsalvesd@sec.gov">gonsalvesd@sec.gov</a>
Section 508 Compliance	1	0	0	Sharvon Jones, <i>Governance Branch</i> , Office of Information Technology <a href="mailto:jonessh@sec.gov">jonessh@sec.gov</a>
Architectural Barriers Act Compliance	0	0	3	Ray Ferrari, RA, LEED AP, Architect, Office of Support Operations (OSO)-Office of Building Operations (OBO) <a href="mailto:FerrariR@sec.gov">FerrariR@sec.gov</a>  Jinhee Kim, RA, LEED AP, Architect, OSO-OBO <a href="mailto:KimJin@sec.gov">KimJin@sec.gov</a>  Carla Hairston; NCIDQ, COEE, OSO-OBO <a href="mailto:HairstonC@sec.gov">HairstonC@sec.gov</a>
Special Emphasis Program for PWD and PWTD	2	0	0	Xiya Li, Branch Chief Office of Human Resources <a href="mailto:lixiy@sec.gov">lixiy@sec.gov</a>  Kai Petty, <i>Lead HR Specialist</i> Office of Human Resources <a href="mailto:pettyka@sec.gov">pettyka@sec.gov</a>

3. Has the Agency provided disability program staff with sufficient training to carry out their responsibilities during the reporting period? If “yes”, describe the training that disability program staff have received. If “no”, describe the training planned for the upcoming year.

Yes  No

The two and a half full-time employees who work on the disability program staff came to the Agency with significant HR experience in the federal government, but were new to reasonable accommodation programs and the responsibilities inherent in responding to reasonable accommodation requests. They received on-the-job training from the Disability Program Officer and departing Reasonable Accommodation Coordinator and periodically attended training programs and reviewed recent case law to stay apprised of the current developments in this area. Additionally, the Disability Program Officer, representing the half-time employee, also responded to reasonable accommodation requests when possible while managing a diverse portfolio of other HR programs. The Disability Program Officer completed courses specific to recruiting, accommodating, hiring, and retaining PWD via OPM’s HR University and the SEC’s Learning Management System, LEAP, in addition to the general training received.

More generally, all of the SEC’s HR specialists have completed training courses related to staffing and placement offered by the USDA Graduate School or OPM and through various other platforms. The Agency’s training and development office also offers learning options that include processing applications for PWD. The Agency will continue these practices in the future.

Changes are planned in line with implementation of requirements and recommendations under Section 501 of the Rehabilitation Act. Those changes will require more focused and specific training on related policy and procedure post implementation for both HR specialists and disability program staff.

### Plan to Ensure Sufficient Funding for the Disability Program

1. Has the Agency provided sufficient funding and other resources to successfully implement the disability program during the reporting period? If “no”, describe the Agency’s plan to ensure all aspects of the disability program have sufficient funding and other resources.

Yes  No

The Agency was resourced adequately during the reporting period to implement the disability program successfully.

## SECTION III: PLAN TO RECRUIT AND HIRE INDIVIDUALS WITH DISABILITIES

Pursuant to 29 C.F.R. § 1614.203(d)(1)(i) and (ii), agencies must establish a plan to increase the recruitment and hiring of individuals with disabilities. The questions below are designed to identify outcomes of the agency's recruitment program plan for PWD and PWTD.

### Plan to Identify Job Applicants with Disabilities

1. Describe the programs and resources the Agency uses to identify job applicants with disabilities, including individuals with targeted disabilities.

OHR continued to take steps toward improving the participation of PWD and PWTD in applicant pools. Since focusing on these efforts under OHR's *2018-2019 Recruitment Strategy*, the SEC has realized an increase in the overall representation of people with disabilities through effective recruitment and outreach efforts that identify the Agency as an employer of choice.

Despite the government shutdown, the Agency maintained a physical recruitment presence in FY 2019. The SEC attended over 17 career fairs and events supporting efforts in building pipelines for future employment.

The SEC is committed to being a model employer for people with disabilities; as such, the SEC introduced a more direct and streamlined approach to the general hiring process using the Schedule A hiring authority for persons with disabilities. This streamlined approach required all external hiring requests be filtered through the Selective Placement Program Coordinator (SPPC) for review. The SPPC referred qualified applicants to hiring managers prior to or concurrently with the general staffing process. OHR will continue to leverage the DIAC for recruitment resources and assistance. Further, OHR will continue to retain and review applications from people with disabilities for future openings and will conduct targeted outreach to connect with qualified candidates by collaborating with community-based partners such as nonprofit organizations, national and local disability organizations, and federally funded state and local employment programs.

2. Pursuant to 29 C.F.R. § 1614.203(a)(3), describe the Agency’s use of hiring authorities that take disability into account (e.g., Schedule A) to recruit PWD and PWTD for positions in the permanent workforce.

The Agency uses a variety of available resources that support hiring through Schedule A and other hiring authorities that take disability into account. During FY 2019, the Special Programs Manager continued to source potential candidates from available resources such as OPM’s Shared List of People with Disabilities.

The Special Programs Manager receives notifications and newsletters from the following groups and transmits information to OHR staff engaged in recruiting:

- EARN—Employer Assistance Resource Network: [askearn.org](http://askearn.org)
- JAN—Job Accommodation Network: [askjan.org](http://askjan.org)
- ODEP—Office of Disability Employment Policy, Department Of Labor: [dol.gov/odep/](http://dol.gov/odep/)
- OWF—Operation Warfighter Program: [warriorcare.dodlive.mil/carecoordination/operation-warfighter/](http://warriorcare.dodlive.mil/carecoordination/operation-warfighter/)

3. When individuals apply for a position under a hiring authority that takes disability into account (e.g., Schedule A), explain how the Agency (1) determines if the individual is eligible for appointment under such authority and (2) forwards the individual’s application to the relevant hiring officials with an explanation of how and when the individual may be appointed.

The following describes two procedures for processing applications under the Schedule A hiring authority for persons with disabilities, one used in response to a specific vacancy posting and the other for unsolicited Schedule A applications.

**The Office of Human Resources processes Schedule A applications in response to a Job Opportunity Announcement (JOA).**

Applicants who wish to be considered for a specific vacancy under the Schedule A hiring authority must submit the appropriate documentation when applying for a current open JOA. The SEC defers to the OPM-identified appropriate documentation. Applications are reviewed by HR specialists to determine if the applicant is minimally qualified as identified in the JOA. If the applicant is minimally qualified, that individual is referred to the hiring manager on a separate certificate of eligible candidates. HR specialists provide written guidance to hiring managers via email that explains how Schedule A applicants can be selected once the certificate has been issued.

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**The Office of Human Resources also processes unsolicited Schedule A applications.**

Applicants who wish to be considered under the Schedule A hiring authority, outside the process for a specific vacancy posting, must submit the appropriate documentation as identified by OPM with their application. The Special Programs Manager will proactively contact the prospective applicant if the individual did not submit the required documentation. The application will not be processed until the appropriate documentation is received.

Resumes submitted directly to the Special Programs Manager are reviewed to determine the potential job series the applicant may be suitable for based on the knowledge, skills, and abilities identified on the applicant's resume. Building a pool of qualified candidates is important to the SEC; as such, the Agency has developed a *Schedule A Resume Database*.

The SEC process for hiring starts with a Staffing Action Request Form (SARF) submitted by the hiring manager. When a SARF is received by OHR, the Special Programs Manager compiles a certificate of eligible candidates from the database per the job series and refers candidates to hiring managers. In some cases, the Special Programs Manager conducts a one-on-one consultation with the hiring manager to discuss the certificate of eligible candidates, as appropriate.

The SEC's administrative regulations on its Veterans Employment Program provides instruction for hiring veterans with disabilities and was last updated in January 2017. The Agency's administrative regulations are available upon request.

4. Has the Agency provided training to all hiring managers on the use of hiring authorities that take disability into account (e.g., Schedule A)? If "yes", describe the type(s) of training and frequency. If "no", describe the agency's plan to provide this training.

Yes **X**      No 0      N/A 0

OHR partnered with the DIAC to host the first Hiring Manager's Forum on Schedule A Disability and Veterans' hiring authorities in an effort to further educate SEC hiring managers and promote the use of such authorities. The event was sponsored by SEC leadership and featured an in-depth presentation by the Special Hiring Programs Manager, a panel discussion with senior managers from across the Agency who shared their experience using Schedule A to hire staff, and a Q&A session.

In FY 2019, periodic training occurred with each hiring manager who requested to fill a position. The hiring checklist used by the staffing specialists contains a Schedule A section that is discussed in-depth during the one-on-one hiring conversation. The specialist trains the hiring manager on the various procedures of the Schedule A hiring process and offers it as a course of action where applicable.

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In FY 2019, the Agency successfully recruited and hired staff through Schedule A following two years of no Schedule A hiring. In addition, recruitment under Schedule A procedures led to the eventual hire of a veteran with a service-connected disability directly into the competitive service. DIAC and the Disability Program Office will continue to promote such successful Schedule A hiring to support the Agency’s *Strategic Recruitment Plan* amongst hiring managers.

The Disability Program Manager speaks at DIAC meetings/events on a regular and recurring basis on a variety of topics, including the hiring authorities that take disability into account.

### Plan to Establish Contacts with Disability Employment Organizations

1. Describe the Agency’s efforts to establish and maintain contacts with organizations that assist PWD, including PWTD, in securing and maintaining employment.

The SEC’s Special Programs Manager continued to maintain established partnerships with organizations that assist PWD in securing and maintaining employment. The Special Programs Manager updates the SEC’s list of affinity organizations to maintain contact and foster relationships for recruitment events and candidate sourcing.

The SEC is currently exploring a potential partnership with Broad Futures, which is a DC-based organization that places students with learning disabilities into government and private sector internships. The SEC plans to explore this partnership further in FY 2020.

The Special Programs Manager maintains an ongoing relationship with the SEC’s DIAC and the Veterans Committee.

The SEC continued the pilot of the *Operation Warfighter Program (OWF)* during FY 2019. OWF is an internship program created by the Department of Defense that matches qualified wounded, ill, and injured service members with non-funded federal internships for them to gain valuable work experience during recovery and rehabilitation. The SEC is finalizing program policies and procedures and plans to implement Agency-wide in FY 2020.

### Progression Towards Goals (Recruitment and Hiring)

1. Using the goals of 12% for PWD and 2% for PWTD as the benchmarks, do triggers exist for PWD and/or PWTD among the new hires in the permanent workforce? If “yes”, please describe the triggers below.

- a. New Hires for Permanent Workforce (PWD)    Yes **X**    No 0
- b. New Hires for Permanent Workforce (PWTD)    Yes 0    No **X**

Data from FY 2019 presented in Table B1 were reviewed for evidence of differences in hiring into the permanent workforce. The Agency did not achieve a 12% participation rate for PWD among new hires in the permanent workforce. The Agency did achieve the numerical goal of 2% participation of PWTD among permanent new hires. In FY 2019, the Agency hired 53 permanent employees, among them were five (9.43%) employees who are PWD and three (5.66%) PWTD.

2. Using the qualified applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among the new hires for any of the mission-critical occupations (MCO)? If “yes”, please describe the triggers below.

a. New Hires for MCO (PWD)	Yes <b>X</b>	No 0
b. New Hires for MCO (PWTD)	Yes 0	No <b>X</b>

In FY 2019, Table B6 was reviewed for evidence of triggers in the hiring of permanent employees into MCO positions. From these data, no PWD or PWTD applicants were found qualified for two out of five of the MCO positions, securities compliance examiner and economist, and no PWTD were found in the qualified applicant pool for accountants. PWD were found in the qualified applicant pools for attorneys, accountants, and IT management specialists; qualified applicants for attorney and IT management positions also included PWTD. In FY 2019, the SEC hired and onboarded a total of 53 permanent staff employees. Among these newly hired staff members were 39 persons in MCO positions, 28 attorneys, eight IT management specialists, two securities compliance examiners, and one accountant. Three of those 39 (7.69%) newly onboarded MCO permanent staff were PWD and two were also PWTD. [Redacted to protect privacy.] These were the only PWD or PWTD hired into MCO positions during FY 2019.

To assess these differences, the percentage of PWD in the permanent new hires for each occupation was compared to the qualified applicant pool (QAP). As described above (*see Part E*), the applicant flow data summarizes the phases of the hiring process through selection for vacancies that were posted and closed through USAJOBS during the fiscal year. The data in Table B6 reflect the pool of qualified applications for permanent vacancies announced through USAJOBS during FY 2019. In FY 2019, OPM implemented a number of actions to help agencies in their analysis of AFD. OPM: (1) made information about appointment type (permanent or temporary) available for each vacancy; (2) created a variable so that agencies can more easily identify supervisory versus non-supervisory vacancies; and (3) changed

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AFD so that all applications submitted by the same applicant reflected a unique identifier, providing valuable data for agencies to analyze and identify demographic trends for successful and unsuccessful applicants. In future years' reports, we anticipate fully leveraging OPM's FY 2019 changes to AFD, namely, the ability to identify trends in successful and unsuccessful applicants based on demographic groups.

Table B6 also presents data on permanent *new hires* on boarded during the course of the fiscal year. Some newly hired staff applied for a vacancy posted in a prior fiscal year or may have elected not to volunteer demographic information. Differences may be observed in comparing the demographic statistics of the QAP and that of new hires on boarded. Triggers comparing the composition of PWD and PWTD in applicant flow versus new hire data should be interpreted with these differences in mind.

Triggers were observed for PWD in the hiring of permanent staff attorneys and accountants. For PWTD, triggers were found for the attorney and IT management occupations.

PWD represent 3.57% of 28 newly hired permanent staff attorneys, which is below their participation (5.34%) in the QAP. For attorneys, the QAP for PWTD was 1.13%; no PWTD (0.00%) were hired as permanent staff attorneys.

One newly hired permanent employee in FY 2019 was an accountant, who was neither PWD nor PWTD. Two PWD were found among the QAP for accountant at 1.96%; this difference represents a trigger for the accountant occupation amongst PWD. No PWTD were found in the QAP for accountants, and none were hired; as such, no difference in participation was observed.

For securities compliance examiner vacancies posted in FY 2019, no PWD or PWTD were found in the QAP, and none were hired. As such, no difference in participation was observed.

For IT management, eight employees were hired as permanent staff in FY 2019. The QAP was 18.96% PWD and 2.68% PWTD, and PWD participation among new hires exceeds that of the QAP, and PWTD also exceeded their participation amongst the QAP. [*Redacted to protect privacy.*]

Finally, for economists, no permanent staff economist positions were posted in FY 2019; as such, there was no opportunity to observe triggers in the hiring of permanent staff economists.

3. Using the relevant applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among the qualified internal applicants for any of the mission-critical occupations (MCO)? If “yes”, please describe the triggers below.

- a. Qualified Applicants for MCO (PWD)                      Yes **X**      No 0
- b. Qualified Applicants for MCO (PWTD)                      Yes **X**      No 0

In the FY 2019 data presented in Table B6, differences were identified in the participation of PWD in the qualified internal applicants for competitive promotions as compared to the relevant applicant pool (RAP) within four of the SEC’s MCOs, i.e., attorney, accountant, securities compliance examiner, and IT management. Differences were also identified between the RAP and QAP for PWTD within the internal competitive promotion data for the MCOs of attorney, accountant, securities compliance examiner, and IT management.

The RAP was defined for each MCO based on the number of employees holding a qualifying occupation series and in the SK-levels encumbered at the Agency between SK-11 and SK-16. Specifically, for attorneys, the RAP included all employees in the 0905 series. For accountants, the RAP included all employees in the 0510 series. For securities compliance examiners, the RAP included all employees in the 1831 and the 0501, Financial Administration and Program series. For the information technology management occupation, the RAP included all employees in the 2210 series, and for the economist occupation, the RAP included all employees in the 0110 series.

For attorneys, the RAP for PWD was 5.54%, and PWD represented 4.52% of the qualified internal applicants. The RAP for PWTD was 1.15%, and PWTD were 0.00% of the qualified internal applicants for attorneys. The Agency observed a small difference between the RAP and the qualified applicants for attorney internal promotions of PWD and PWTD.

For accountants, the RAP for PWD was 5.51%, and PWD were 13.33% of the qualified internal applicants. However, no PWD were referred or selected. The RAP for PWTD was 0.90%, and no PWTD applied, suggesting a negligible difference.

For securities compliance examiners, the RAP for PWD was 7.45%, and PWD represented 5.56% of the qualified internal applicants. The RAP for PWTD was 1.55%, and no PWTD applied.

For IT management, the RAP for PWD was 11.90%. There was a decline in percentage PWD from the applied stage (16.71%) to the qualified stage (8.67%) that brought the percentage of qualified applicants below the RAP. The RAP for PWTD was 1.12%, and PWTD represented 0.67% of the qualified internal applicants, suggesting a negligible difference.

For economists, no vacancies were posted for permanent promotion. As such, no PWD or PWTD were found in either the RAP or the qualified internal applicant pool; therefore, no difference was found in participation for this occupation.

4. Using the qualified applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among employees promoted to any of the mission-critical occupations (MCO)? If “yes”, please describe the triggers below.

a. Promotions for MCO (PWD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
b. Promotions for MCO (PWTD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

The selection data indicate a difference for PWD in the attorney, accountant, securities compliance examiner, and IT management occupations. No competitive promotions were made amongst permanent staff economists in FY 2019. There was no opportunity to observe triggers for this MCO.

A difference was observed among PWD attorneys. The QAP for PWD was 4.52%, and PWD represented 2.78% of selections. There were no PWTD in the QAP, and as such there was no basis for comparison.

For accountants, the QAP for PWD was 13.33% (two applicants), and no PWD were selected. There were no PWTD in the QAP, and as such there was no basis for comparison.

For securities compliance examiners, the QAP for PWD was 5.56% (one applicant), and no PWD were selected. For IT management specialists, the QAP for PWD was 8.67%, and PWD were 11.11% of selections, indicating an increase in percentage PWD from the qualified to the selection stage. For PWTD, the QAP for IT management specialists was 0.67% (one applicant), and no PWTD were selected.

## SECTION IV: PLAN TO ENSURE ADVANCEMENT OPPORTUNITIES FOR EMPLOYEES WITH DISABILITIES

Pursuant to 29 C.F.R § 1614.203(d)(1)(iii), agencies are required to provide sufficient advancement opportunities for employees with disabilities. Such activities might include specialized training and mentoring programs, career development opportunities, awards programs, promotions, and similar programs that address advancement. In this section, agencies should identify, and provide data on programs designed to ensure advancement opportunities for employees with disabilities.

### Advancement Program Plan

1. Describe the Agency's plan to ensure PWD, including PWTD, have sufficient opportunities for advancement.

To promote equal employment opportunity, the Agency takes a number of steps to ensure that opportunities for advancement are open and available to all, including PWD and PWTD in the workforce. Information about training, mentoring programs, and career development options is widely shared with the workforce. The following describes efforts to promote opportunities for advancement.

- OHR updated and maintains a user-friendly, interactive portal, *AskHR*, on the SEC's intranet, which provides employees with information about hiring, compensation and benefits, employee development, performance management, and disability accommodations, among a number of other topics. In addition, all employees receive a daily communication, *SEC Today*, which highlights important information about events and opportunities for details, training, and SEC staff accomplishments.
- The CHCO is an active member of the SEC Veterans Committee, which hosts a website that includes information concerning veterans' benefits, to include a link to the *Feds Hire Vets* website that highlights special hiring authorities for veterans.
- DIAC regularly communicates with its membership, which includes PWD and PWTD, about its own activities, other events, developmental opportunities, and job postings or support available to the workforce. These more targeted communications help ensure that PWD and PWTD are aware of the available options and any processes for requesting participation or enrollment.

## Career Development Opportunities

1. Please describe the career development opportunities that the Agency provides to its employees.

The SEC provides numerous opportunities for employees to acquire the skills and certifications needed to succeed in their technical positions and to progress in their careers. Classroom-style and e-Learning programs offer an extensive array of learning opportunities in technical areas (e.g., courses on Hedge Funds, Mutual Funds, and Credit Derivatives, etc.) as well as in leadership development to SEC senior leaders and non-supervisory staff alike. Among the variety of learning and development offerings, the SEC offers the three career development training programs highlighted below. Data on participation in these programs is captured along with other training program data below.

- The *Women in Leadership* program is offered once a year under the auspices of the Brookings Institution. Each year, the SEC provides either managers (SK-15 and SK-17 supervisors) or non-managerial staff (SK-14 and SK-16 levels) the opportunity to participate in this leadership development program. Program participants from across federal agencies learn how to strengthen leadership qualities and explore key elements of senior leadership success while maintaining authenticity and balance.
- The *EIG Fellows* Program, coordinated by the Partnership for Public Service, strengthens the leadership skills of experienced federal employees through a combination of innovative coursework, best practices benchmarking, challenging action-learning projects, executive coaching, and government-wide networking. This program is offered to SEC employees in the SK-14 to SK-17 (a mix of supervisory and non-supervisory) levels. SEC's EIG Fellows attend facilitated sessions at SEC Headquarters to share what they are learning and to explore how this information can be applied to improve organizational performance, workplace relationships, and productivity.
- The *Aspiring Leaders* program is an interactive blended-learning program designed to strengthen the leadership and management skills of SEC non-supervisory (SK-13 and SK-14) employees. The program covers: critical leadership skills for effective supervision; first-line management responsibilities; understanding government policy, process, and regulations relevant to management; and increasing self-awareness through guided self-assessments and feedback.

The SEC's robust training program also offers seminars targeted to specific audiences, including Senior Officers, managers, and employees, covering relevant subject matter. In FY 2018, OHR continued to implement enhancements to its learning management system, LEAP. Within this system's MyCareer@SEC module, employees can find information about career paths mapped to their current position, the responsibilities and occupational requirements of positions in that career path, and options for training and development that would enable

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them to progress toward their career goals. SECU established initial career paths in FY 2017 based on prior projects to define competency requirements for a variety of occupations. In FY 2019, OHR and SECU also:

- Developed and worked with NTEU to administer a Competency Assessment Survey to inform workforce planning efforts and shape the future of SEC-wide training and development programs. The survey was launched in September 2018, and data collection continued into FY 2019. The data gleaned from the competency survey will be used to enhance the value of the new LEAP career path options.

The Agency supports employees in pursuing leadership development through a variety of program offerings, including both individual coaching and an Agency-wide mentoring program. Since 2012, 144 managers have completed a 12-session coaching engagement with an external coach. Coaching with an internal certified executive coach is not tracked, nor is demographic information captured, due to confidentiality.

OHR's Human Capital Strategy Group continued working on a long term, multi-year planning effort for a leadership development program similar to the SES Candidate Development Programs offered by other federal agencies.

Relatedly, in early FY 2019, the Agency successfully launched a pilot mentoring program leading to the first cohort of 30 participants who will receive mentoring throughout FY 2019. In the first wave, 142 permanent employees submitted a statement of interest in the program. On a first come, first serve basis, 30 participants were accepted into the mentoring program and matched with volunteer mentors with deep technical expertise and/or leadership experience. The SEC held formal events throughout FY 2019 to help guide the mentoring relationship toward success. The Inaugural Mentoring Program celebrated its finale event on June 26, 2019. Positive feedback about the program informed the Agency's decision to institute the program ongoing. In late FY 2019, OCOO was pleased to announce the launch of the next Mentoring Program cohort. On September 23, 2019, 103 employees registered interest in participating in the next mentoring cohort. Thirty employees were paired with mentors for the next cohort. The SEC's Mentoring Program will provide career development and support to these 30 employees from October of 2019 until the Capstone event scheduled for June 16, 2020. Formal program events for both mentors and participants are scheduled quarterly and facilitated by OCOO and SECU experts. The SEC held an orientation session for both mentors and participants on October 28 and 29, 2019.

Participation among PWD and PWTD in the Agency's career development opportunities is provided on page 150.

2. In the table below, please provide the data for career development opportunities that require competition and/or supervisory recommendation/approval to participate.

Career Development Opportunities <sup>1</sup>	Total Participants		PWD		PWTD	
	Applicants (#)	Selectees (#)	Applicants (%)	Selectees (%)	Applicants (%)	Selectees (%)
Internship Programs	103	0	5.83%	0.00%	0.97%	0.00%
Fellowship Programs	183	16	1.64%	0.00%	0.55%	0.00%
Mentoring Programs	93 <sup>1</sup>	30	13.98%	13.33%	3.23%	3.33%
Coaching Programs	NA	NA	NA	NA	NA	NA
Training Programs	1,386	1,386	10.68%	10.68%	1.80%	1.80%
Detail Programs	178	16	1.69%	6.25%	1.12%	6.25%
Other Career Development Programs	NA	NA	NA	NA	NA	NA

<sup>1</sup> Two applicants for the mentoring program, who are serving under temporary appointments, were not included in this analysis.

Training Programs data show demographic data for all permanent employees' registrations for training in LEAP and completed training opportunities during FY 2019. There is no competition for training class registration. All eligible employees who register or apply are invited or selected to complete the training course. Applicant and selectee participation records are thus identical. These Applicant registration and Selectee participation records may include more than one training opportunity per employee, representing both mandatory and elective courses. Therefore, the total registration and participation data exceed the total number of employees.

Detail Programs summarize information only for Temporary Promotions announced for competitive selection by the Agency. These data do not reflect detail opportunities that do not include a change to the employee's personnel record, e.g., a detail to a job in the same pay grade and location.

Notes: With more limited hiring in FY 2019, there was no recruitment or hiring of applicants for Internship programs.

The SEC does not currently have Detail Programs or Other Career Development Programs as defined for inclusion here.

Demographic data on applicants for the Agency's Fellowship Programs are not currently captured. Neither are such data captured for participants in Coaching Programs to protect the confidential relationship between employee and coach.

The SEC's Mentoring Program was open for registration. Applications for the program were reviewed and paired with volunteers to serve as mentors from among the Agency's leadership cadre.

3. Do triggers exist for PWD among the applicants and/or selectees for any of the career development programs? (The appropriate benchmarks are the relevant applicant pool for the applicants and the applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box.

a. Applicants (PWD)	Yes <b>X</b>	No 0
b. Selections (PWD)	Yes <b>X</b>	No 0

From the Career Development Opportunities table above, data on the participation of PWD and PWTD in applications or selections for various programs were reviewed.

For the Agency’s economist and accountant Fellows programs, the Agency noted a difference in the participation of PWD among (external) applicants for these programs and eventual selections for positions. While 1.64% of applicants were PWD, none of the Fellows hired were PWD (0.00%).

No selections, of persons with or without disability, were eventually made among applicants for a Pathways Student Internship posting.

Within the Agency’s mentoring program, the Agency found no evidence of a trigger in the participation rate among those who expressed interest in the next cohort of the mentoring program (i.e., applicants) as compared to participation of PWD in the permanent workforce. While 8.72% of all permanent staff are PWD, PWD represent 13.98% of those employees who expressed interest in the mentoring program and 13.33% of those selected for mentoring. The participation rate of PWD among those selected to participate in the mentoring program for FY 2020 (i.e., Selectees) approximates their participation among those expressing interest.

Aggregate PWD participation in training programs approved on standard form 182 through the Agency’s learning management system, LEAP, exceeds their participation on rolls; 10.68% of training requiring separate approval on SF-182 were completed by PWD, compared to 8.72% of permanent employees who are PWD. PWD participation in training was higher than that among permanent employees; this difference was statistically significant ( $X^2 = 27.85, p < .0001$ ).

Data about Detailed employees show evidence of a difference disadvantaging PWD among those who applied for Temporary Promotion and no trigger among those selected. While 1.69% of applicants for temporary promotion were PWD, PWD represent 8.72% of permanent staff employees. A larger proportion of persons selected for a Temporary Promotion or Detail were PWD (6.25%) than were found among applicants (1.69%).

For other Career Development Opportunities, demographic data specific to disability status are not captured or maintained. The Agency will continue to offer such programming and to focus communication efforts to encourage participation of PWD and PWTD as described above, *supra*.

4. Do triggers exist for PWTD among the applicants and/or selectees for any of the career development programs identified? (The appropriate benchmarks are the relevant applicant pool for applicants and the applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box.

a. Applicants (PWTD) Yes **X** No 0  
 b. Selections (PWTD) Yes **X** No 0

From the Career Development Opportunities table in Section IV.2 above, data on the participation of PWTD in various programs were reviewed for equality of employment opportunity in the applications or selections for these programs.

Similar to the PWD data for the Agency’s economist and accountant Fellows programs combined, the Agency noted a difference in the participation of PWTD among (external) applicants for these programs and eventual selections for positions. While 0.55% of applicants were PWTD, none of the Fellows hired (0.00%) were PWTD.

No selections, of persons with or without disability, were eventually made among applicants for a Pathways Student Internship posting.

Within the Agency’s mentoring program, the Agency noted no difference that disadvantaged PWTD in the participation rate among those who expressed interest in the mentoring program (i.e., applicants), as compared to PWTD among permanent staff. While 1.97% of the Agency’s permanent staff are PWTD, PWTD were 3.23% of those employees who expressed interest in the mentoring program. The participation of PWTD among employees selected for mentoring in FY 2020 (3.33%) exceeds that among applicants. No evidence of triggers were found in these data.

In the aggregate, training records show that PWTD participated in training programs approved on SF-182 through LEAP at rates below their participation on rolls; 1.88% of training opportunities requiring special approval were completed by PWTD, compared to 1.97% of PWTD permanent employees.

Data about Detailed employees show evidence of a difference disadvantaging PWTD among those who applied for Temporary Promotion and no trigger among those selected. While 1.67% of applicants for temporary promotion were PWTD, PWTD represent 1.97% of permanent staff employees. A larger proportion of persons selected for a Temporary Promotion or Detail were PWTD (6.25%) than were found among applicants (1.67%).

## Awards

1. Using the inclusion rate as the benchmark, does your Agency have a trigger involving PWD and/or PWTD for any level of the time-off awards, bonuses, or other incentives? If “yes”, please describe the trigger(s) in the text box.

a. Awards, Bonuses, & Incentives (PWD)      Yes **X**      No 0  
b. Awards, Bonuses, & Incentives (PWTD)      Yes **X**      No 0

Table B9-2 presents information on awards distributed to employees during the year as part of its employee recognition program. The EEOC has suggested that agencies consider awards distribution based on inclusion rates, the degree to which each employee group is distributed across workforce indicators, e.g., awarded or separated. Please note this analysis requires aggregating data to the person level as presented in Table B9-2. Employees who received at least one award in any particular award category are counted once in this table.

Aggregated data enables inclusion to be calculated as the proportion for all PWD and PWTD who received each type or category of award. In contrast, Table B9-1 presents participation rates among awards distributed. One employee can and often does receive more than one award in a year. In Table B9-1, one employee is represented more than once if he or she received more than one award in that category. Differences in calculation should be noted when interpreting data from Tables B9-1 and B9-2.

The inclusion rate for PWD was calculated by comparing the number and percent of employees with disabilities who received at least one award in each applicable program element to the number and percent of employees without a disability (this category combines persons with no disability and those who did not identify as having a disability) who received at least one award in each applicable program element.

The inclusion rate for PWTD was calculated by comparing the number and percent of employees with targeted disabilities who received at least one award in each applicable program element to the number and percent of employees without a targeted disability (this category combines persons with no disability, those who did not identify as having a disability, and those with a disability that is not targeted) who received at least one award in each applicable program element.

The Agency did not find a trigger in the distribution of time-off awards less than 10 hours. There was a negligible difference among PWD for time-off awards of 11-40 hours. The inclusion rate for PWD at 25.54% was less than half a percentage point lower than the inclusion rate for persons with no disability at 25.99%. The inclusion rate for PWTD (26.19%) was greater than that of persons with no targeted disability (25.94%).

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For cash awards, the Agency found triggers for PWD for cash awards of \$1,000-\$1,999 and \$3,000 or more.

For cash awards of \$1,000-\$1,999, the inclusion rate for PWD was 19.89%, and the inclusion rate for people with no disability was 30.23%. For cash awards of \$3,000 or more, the inclusion rate for PWD was 0.81%, and the inclusion rate for people with no disability was 2.18%.

For cash awards, the Agency found triggers for PWTD in the award categories of \$1,000 to \$1,999 and for the category of awards greater than \$3,000.

For cash awards of \$1,000-\$1,999, the inclusion rate for PWTD was 13.10%, and the inclusion rate for people with no targeted disability was 29.65%. For cash awards of \$3,000 or more, the inclusion rate for PWTD was 0.00%, and the inclusion rate for people with no targeted disability was 2.10%.

The Agency is actively researching the observed differences in the distribution of discretionary awards as part of our barrier analysis program, described earlier in Part I of this report, *supra*.

2. Using the inclusion rate as the benchmark, does your Agency have a trigger involving PWD and/or PWTD for quality step increases or performance-based pay increases? If “yes”, please describe the trigger(s) in the text box.

a. Pay Increases (PWD)	Yes 0	No <b>X</b>
b. Pay Increases (PWTD)	Yes 0	No <b>X</b>

To address the question posed here, the following summarizes data from performance-based pay increases distributed under the Agency’s *Performance Management Program* and the nature of action (NOA) code 891, *Regular Performance Pay*, in accordance with EEOC instruction for presenting these data. No trigger was found in performance-based pay increases.

The inclusion rate was calculated by comparing the number and percent of employees who received a performance-based pay increase (NOA 891) among PWD to the number and percent of employees with no disability (this group includes those who did not identify as having a disability). The inclusion rate for PWD was 100.27%, and for people without disabilities and those who did not self-identify with a disability, it was 100.10%. This was because some employees separated.

*Continued on the next page*

The inclusion rate for PWTD was calculated by comparing the number and percent of PWTD who received a performance-based pay increase (NOA 891) to the number and percent of employees without a targeted disability (i.e., the combined total of persons with no disability, those who do not identify as having a disability, and those with a disability that is not targeted) who received such a performance-based pay increase. No difference was found in performance rating based pay increases. The inclusion rate for PWTD was 101.19%, and for people without targeted disabilities (including those with no disability, those who did not self-identify as having a disability, and those with a disability that is not targeted), it was 100.10%.

3. If the Agency has other types of employee recognition programs, are PWD and/or PWTD recognized disproportionately less than employees without disabilities? (The appropriate benchmark is the inclusion rate.) If “yes”, describe the employee recognition program and relevant data in the text box.

<b>a. Other Types of Recognition (PWD)</b>	Yes 0	No 0	N/A <b>X</b>
<b>b. Other Types of Recognition (PWTD)</b>	Yes 0	No 0	N/A <b>X</b>

In FY 2019, the Agency did not offer other formal recognition programs for which demographic data, including disability status, are captured in the human resource data systems. The Agency recognizes the value of recognition to support PWD and PWTD in the workforce; trigger analysis is not conducted for programs such as the SEC Honorary Awards program or any of the several honors programs offered by Division Directors.

## Promotions

1. Does your Agency have a trigger involving PWD among the qualified internal applicants and/or selectees for promotions to the senior grade levels? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box.

**a. SES**

Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes <b>X</b>	No 0

**b. Grade GS-15**

Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes <b>X</b>	No 0

**c. Grade GS-14**

Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes 0	No <b>X</b>

**d. Grade GS-13**

Qualified Internal Applicants (PWD)	Yes <b>X</b>	No 0
Internal Selections (PWD)	Yes <b>X</b>	No 0

The SEC crosswalks the Agency’s SK alternative pay plan’s senior grade levels to the General Schedule according to the following equivalencies: SES = SO and EX; GS-15 = SK-15 and SK-17; GS-14 = SK-14 and SK-16; GS-13 = SK-13. We note that the relevant applicant pools (RAP) for the SK grade equivalencies of the GS-14 and GS-15 levels combine data across SK-grade levels. This combination was made to conform analyses to the format provided, though the actual RAPs for the individual SK-levels differ.

Table B7 presents the relevant FY 2019 data to assess whether triggers exist with regard to promotions to senior grade levels. Of 1,972 qualified internal applications for senior grade level positions, 307 (15.57%) were submitted by PWD. The Agency was successful in supporting PWD in their interest in and application for senior grade level positions. There were no triggers identified among qualified internal applicants to the SES, GS-15, and GS-14 equivalent senior grades. For the GS-13 equivalent grade level, a difference was observed.

Among internal selections, differences were observed for the SES and GS-15 equivalent levels, but not the GS-14 or GS-13 equivalent levels. Of the 86 internal promotions to senior grade levels in Table B7, seven (8.14%) were PWD, which is lower than their availability in the QAP at 15.57%. The following presents data for each grade level equivalent.

*Continued on the next page*

At the SES equivalent level, the RAP, comprised of all employees at grade levels SK-14 and higher, was 6.69% PWD, and among qualified internal applicants, a larger proportion (10.98%) were PWD. None of the employees selected for SO positions were PWD.

At the GS-15 equivalent level, the RAP, comprised of employees at grades SK-14, SK-15, and SK-16, was 6.72%, while the participation of PWD among qualified internal applicants was greater at 18.20%. The Agency noted a difference involving internal selections for senior grade levels at GS-15 equivalent grade levels; 2.86% of selections were PWD compared to their participation among qualified internal applicants at 18.20%.

At the GS-14 equivalent level, PWD exceeded the relevant benchmarks at the qualified and selected stages. The RAP, comprised of employees at grades SK-13, SK-14, and SK-15, was 8.02%, and the participation of PWD among qualified internal applicants was 13.67%. On the other hand, 14.29% of selections were PWD compared to 13.67% of qualified internal applicants.

At the GS-13 equivalent level, the Agency noted a difference at the qualified and selected stages. The RAP, comprised of employees at the SK-12 level, was 16.84%, and the participation of PWD among qualified internal applicants was 10.77%. Among selections for internal promotions at the SK-13 level, 12.50% were PWD, and 10.77% of the qualified internal applicants were PWD.

2. Does your agency have a trigger involving PWTD among the qualified internal applicants and/or selectees for promotions to the senior grade levels? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box.

**a. SES**

Qualified Internal Applicants (PWTD)	Yes 0	No <b>X</b>
Internal Selections (PWTD)	Yes <b>X</b>	No 0

**b. Grade GS-15**

Qualified Internal Applicants (PWTD)	Yes 0	No <b>X</b>
Internal Selections (PWTD)	Yes <b>X</b>	No 0

**c. Grade GS-14**

Qualified Internal Applicants (PWTD)	Yes 0	No <b>X</b>
Internal Selections (PWTD)	Yes <b>X</b>	No 0

**d. Grade GS-13**

Qualified Internal Applicants (PWTD)	Yes <b>X</b>	No 0
Internal Selections (PWTD)	Yes <b>X</b>	No 0

Applying the same comparisons to PWTD as described above for PWD, the Agency presents information on trigger identification for PWTD in promotions to senior grade levels. Of 1,972 qualified internal applications for senior grade level positions, 38 (1.93%) were submitted by PWTD. Of the 86 promotions to senior grade levels in Table B7, none (0.00%) were PWTD. Overall, the Agency was successful in supporting PWTD in their interest in and application for senior grade level positions at the highest levels and was less successful in selecting PWTD for those promotions.

Differences were observed in the qualified applicant pools for the GS-13 equivalent senior grade level and among selectees at all of the equivalent senior grade levels. No differences were observed in the qualified applicant pools for the GS-14, GS-15, or SES equivalent grade levels. The following presents data for each grade level.

At the SES equivalent, SO, grade level, the Agency notes that the RAP was 1.35% PWTD, and the participation among qualified internal applicants of PWTD was 1.22%. Zero selections for SO positions were PWTD among the qualified internal applicants.

At the GS-15 equivalent level, the RAP was 1.36%, and among the qualified internal applicants, 1.70% were PWTD. For the internal selections to GS-15 equivalent positions; no selections were PWTD.

At the GS-14 equivalent level, the RAP was 1.58% while 2.30% of the qualified internal applicants were PWTD. None of the selections were PWTD.

At the GS-13 equivalent level, the Agency observed a difference involving PWTD among qualified internal applicants. The RAP was 6.32%, and the participation of PWTD among qualified internal applicants was 2.05%. None of the PWTD qualified internal applicants were selected.

3. Using the qualified applicant pool as the benchmark, does your Agency have a trigger involving PWD among the new hires to the senior grade levels? For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box.

a. New Hires to SES (PWD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
b. New Hires to GS-15 (PWD)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
c. New Hires to GS-14 (PWD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
d. New Hires to GS-13 (PWD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

Applying the same grade equivalencies that were previously described, the Agency presents information on trigger identification for PWD new hires to senior grade levels based on reviewing Table B6. Among the 53 newly hired staff members in FY 2019 were 48 persons hired into senior grade level positions, three SOs, six into GS-15 equivalent positions, 21 into GS-14 equivalent position positions, and 18 into GS-13 equivalent positions. Four of those 48 (8.33%) newly hired permanent staff in senior grade levels identified as PWD. The following evaluates participation of PWD in each senior grade equivalent level.

As described above (*see Part E*), the QAP from Table B7 summarizes data where the applicant self-identified with a disability and qualified for the position. Data in this table describe vacancies for permanent positions with the SEC that were posted in USAJOBS with a closing date during the fiscal year. In contrast, Table B7 also presents data on *new hires* onboarded during the course of the fiscal year; some of whom applied for a vacancy posted prior to the start of the fiscal year. Differences may be observed in the demographic statistics of those selected versus those onboarded as *new hires*. Triggers comparing the composition of PWD and PWTD in applicant flow versus new hire data should be interpreted with these difference in mind.

At the SES equivalent level, the QAP was 1.37% PWD, and none of the three newly hired permanent SOs identified as PWD.

At the GS-15 equivalent level, the QAP was 11.89% PWD, and 33.33% of the permanent new hires for those positions identified as PWD. [*Redacted to protect privacy.*]

At the GS-14 equivalent levels, the QAP was 10.81% PWD while 4.76% newly hired permanent staff were PWD. [*Redacted to protect privacy.*]

At the GS-13 equivalent level, the QAP was 13.27% PWD, while 5.56% of the new hires to GS-13 equivalent positions identified as PWD. [*Redacted to protect privacy.*]

4. Using the qualified applicant pool as the benchmark, does your Agency have a trigger involving PWTD among the new hires to the senior grade levels? For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box.

a. New Hires to SES (PWTD)	Yes 0	No <b>X</b>
b. New Hires to GS-15 (PWTD)	Yes 0	No <b>X</b>
c. New Hires to GS-14 (PWTD)	Yes <b>X</b>	No 0
d. New Hires to GS-13 (PWTD)	Yes 0	No <b>X</b>

Applying the same grade equivalencies that were described above in the section on promotions, the Agency presents information on trigger identification for PWTD new hires to senior grade levels. 4.17% of the newly hired permanent staff in senior grade levels were PWTD. *[Redacted to protect privacy.]*

For the senior grade level equivalent GS-14 level, the Agency found a trigger in the difference in participation of PWTD between qualified applicants and among new hires. Because no PWTD were found among the qualified applicants for SES/SO positions, no trigger was identified at that level.

More detail about each senior grade level follows in descending order by level.

At the GS-15 equivalent level, the QAP was 1.40%; 16.67% of new hires were PWTD. *[Redacted to protect privacy.]*

At the GS-14 equivalent level, the QAP was 2.01% PWTD; none of the newly hired GS-14 equivalent staff were PWTD.

At the GS-13 equivalent level, the QAP was 1.76% PWTD, and 5.56% of new hires were PWTD. *[Redacted to protect privacy.]*

5. Does your agency have a trigger involving PWD among the qualified internal applicants and/or selectees for promotions to supervisory positions? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box.

<b>a. Executives</b>		
Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes <b>X</b>	No 0
<b>b. Managers</b>		
Qualified Internal Applicants (PWD)	Yes 0	No <b>X</b>
Internal Selections (PWD)	Yes <b>X</b>	No 0
<b>c. Supervisors</b>		
Qualified Internal Applicants (PWD)	Yes <b>X</b>	No 0
Internal Selections (PWD)	Yes 0	No <b>X</b>

The SEC cross-walked the Agency's alternative pay plan supervisory levels to the Executive, Manager, and Supervisor levels according to the following equivalencies: Executives = SO; Managers = SK-17 and the supervisory Administrative Law Judges in pay plan Administrative Law (AL); and Supervisors = employees or positions at SK-levels below SK-17 who hold supervisory status. We note that, similar to the senior grade level equivalencies, the relevant applicant pools (RAP) for supervisory levels at the Agency combine data across multiple SK levels. This combination was made to conform analyses to the format provided, though the actual RAPs for the specific leadership levels differ.

FY 2019 data underlying Table B8 are relevant for assessing whether triggers exist with regard to promotions to supervisory or managerial positions. Among the promotions in FY 2019 were 77 persons promoted to a leadership position at the supervisor, manager, or executive level, eight SOs, 19 managers, and 50 supervisors. 9.09% of those promoted identified as PWD. [Redacted to protect privacy.] The following evaluates participation of PWD in each leadership level.

For the executive and manager levels, the participation of PWD in the qualified internal applicant pool exceeds that in the RAP. Therefore, no triggers were found in the QAP data for executives and managers. There was a slight difference at the supervisor level. The QAP for PWD was 7.50%, which fell below the RAP of 8.90%.

Differences were found when comparing PWD selections into leadership positions to the qualified internal applicant pools at the executive and manager levels, but not the supervisor level. As found for senior grade levels, overall, the Agency was successful in supporting PWD in their interest in and application for leadership roles and was less successful in selecting PWD for those promotions.

For executives, the Agency had a trigger involving internal selections. The RAP, comprised of permanent managers with supervisory status at the SK-17 level, was 6.43% PWD, and the qualified internal applicants were 10.98% PWD. Therefore, no trigger was found for qualified internal applicants. However, the Agency found lower participation of PWD among selections. None of the internal selections for SO positions identified as PWD, while 10.98% of the qualified internal applicants were PWD.

For managers, the RAP, comprised of permanent supervisors at the SK-13 through SK-15 levels, was 7.43%, and the qualified internal applicant pool was 16.62%. Among the SK-17 manager selections noted in internal competitive promotion data 5.25% were PDW. [Redacted to protect privacy].

For supervisors, the RAP, comprised of both supervisory and non-supervisory employees at the SK-12 through SK-14 levels, was 8.90% PWD, and the qualified internal applicants were 17.50% PWD. However, there was a difference found for internal selections. 12.00% PWD were among the internal selections for first level supervisor positions compared to 17.50% of the QAP. [Redacted to protect privacy.]

6. Does your Agency have a trigger involving PWTD among the qualified internal applicants and/or selectees for promotions to supervisory positions? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box.

**a. Executives**

Qualified Internal Applicants (PWTD)	Yes 0	No <b>X</b>
Internal Selections (PWTD)	Yes <b>X</b>	No 0

**b. Managers**

Qualified Internal Applicants (PWTD)	Yes 0	No <b>X</b>
Internal Selections (PWTD)	Yes <b>X</b>	No 0

**c. Supervisors**

Qualified Internal Applicants (PWTD)	Yes 0	No <b>X</b>
Internal Selections (PWTD)	Yes <b>X</b>	No 0

Applying the same grade equivalencies that were described previously, the Agency presents information on trigger identification for PWTD internal promotions to supervisory positions from Table B8. None of the promotions were PWTD. The following evaluates participation of PWTD in each leadership level. *[Redacted to protect privacy.]*

For all three leadership levels, there was no difference between the participation of PWTD in the qualified internal applicant pool compared to the RAP. However, differences were found when comparing PWTD selections into leadership positions to the qualified internal applicant pools for all three leadership levels. As found for senior grade levels, overall, the Agency was successful in supporting PWTD in their interest in and application for senior leadership roles and was less successful in selecting PWTD for those promotions.

For executives, the RAP was 1.29% PWTD and 1.22% of the qualified internal applicants were PWTD. The Agency did identify a difference in participation for PWTD involving internal selections; no PWTD were among the eight employees promoted to SO positions.

For managers, the RAP was 1.14% PWTD and 1.36% of the qualified internal applicants were PWTD. The Agency identified a difference involving internal selections; no PWTD were selected out of 17 manager promotions, though 1.36% of the qualified internal applicants were PWTD.

For supervisors, the RAP was 1.94%, and 1.74% of the qualified internal applicants were PWTD. None of those selected for supervisory positions were PWTD.

7. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWD among the selectees for new hires to supervisory positions? If “yes”, describe the trigger(s) in the text box.

a. New Hires for Executives (PWD)	Yes <b>X</b>	No 0
b. New Hires for Managers (PWD)	Yes 0	No <b>X</b>
c. New Hires for Supervisors (PWD)	Yes <b>X</b>	No 0

Applying the same grade equivalencies that were described previously, the Agency presents information on trigger identification for PWD new hires into leadership positions. Table B8 is relevant for assessing whether differences exist with regard to applicants and new hires in supervisory positions for PWD (*this question*) and PWTD (*see the next question*). A difference was found in FY 2019 new hire data for PWD at the executive and supervisor levels.

The SEC hired 53 new staff members in FY 2019. 22.22% newly hired permanent staff in leadership positions were PWD in manager positions. [Redacted to protect privacy.] The following evaluates participation of PWD in each leadership level. Because no permanent staff PWD employees were hired into either SO or supervisor positions, participation of PWD was higher among the QAP than among newly hired leaders. At the manager level, there was no trigger for the permanent new hires for either PWD or PWTD.

As described above (*see Part E*), the QAP from Table B8 summarizes data where the applicant self-identified with a disability and qualified for the position. Data in this pool describe vacancies for permanent and temporary positions with the SEC that were posted in USAJOBS with a closing date during the fiscal year. In contrast, Table B8 also presents data on *new hires* onboarded during the course of the fiscal year; some of whom applied for a vacancy posted prior to the start of the fiscal year. Differences may be observed in the demographic statistics of those selected versus those on boarded as *new hires*. Triggers comparing the composition of PWD and PWTD in applicant flow versus new hire data should be interpreted with these differences in mind.

For executives, the QAP was 1.37% PWD, and none of the newly-hired permanent executives identified as PWD. For managers, PWD participation of 66.67% among newly hired managers exceeds their participation in the QAP at 5.83%. [Redacted to protect privacy.] For supervisors, no PWD were newly hired into supervisory positions, while 13.80% of the QAP were PWD.

8. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWTD among the selectees for new hires to supervisory positions? If “yes”, describe the trigger(s) in the text box.

a. New Hires for Executives (PWTD)	Yes 0	No <b>X</b>
b. New Hires for Managers (PWTD)	Yes 0	No <b>X</b>
c. New Hires for Supervisors (PWTD)	Yes <b>X</b>	No 0

A difference was found in FY 2019 new hire data for PWTD at the supervisor level, but not at the executive or manager levels. 11.11% of newly hired permanent staff in leadership positions identified as PWTD. *[Redacted to protect privacy.]*

For executives, no PWTD (0.00%) were found in the qualified applicant pool, so there was no opportunity to observe a trigger. No PWTD were onboarded or selected as new hires for executive positions in FY 2019.

For managers, the qualified applicant pool was 0.97% PWTD, and 33.33% of the newly-hired permanent managers was PWTD. For supervisors, the qualified applicant pool was 1.53% PWTD, and none of the newly-hired permanent supervisors identified as PWTD. *[Redacted to protect privacy.]*

## SECTION V: PLAN TO IMPROVE RETENTION OF PERSONS WITH DISABILITIES

To be a model employer for persons with disabilities, agencies must have policies and programs in place to retain employees with disabilities. In this section, agencies should: (1) analyze workforce separation data to identify barriers to retaining employees with disabilities; (2) describe efforts to ensure accessibility of technology and facilities; and (3) provide information on the reasonable accommodation program and workplace personal assistance services.

### Voluntary and Involuntary Separations

1. In this reporting period, did the Agency convert all eligible Schedule A employees with a disability into the competitive service after two years of satisfactory service (5 C.F.R. § 213.3102(u)(6)(i))? If “no”, please explain why the agency did not convert all eligible Schedule A employees.

Yes **X**                      No 0                      N/A 0

The SEC maintains discretion on conversions to a career or career-conditional appointment among employees on Schedule A appointments. As a general practice, those Schedule A employees who were not converted voluntarily accepted a new Schedule A appointment within the Agency. One employee was converted to the competitive service under the Schedule A hiring authority during FY 2019 within two years of the Schedule A appointment. A review of records for other Schedule A employees, who were hired or transferred to the SEC and remain on rolls at the close of FY 2019, confirms that all were converted to competitive service within two years of appointment.

2. Using the inclusion rate as the benchmark, did the percentage of PWD among voluntary and involuntary separations exceed that of persons without disabilities? If “yes”, describe the trigger below.

a. Voluntary Separations (PWD)                      Yes **X**                      No 0  
 b. Involuntary Separations (PWD)                      Yes 0                      No **X**

Table B1 provides FY 2019 data on voluntary and involuntary separation by disability. These data were used to calculate the inclusion rates. More information about inclusion rates is provided above in the analysis of awards. Inclusion rates were calculated as the number of PWD who separated among all PWD in the workforce, compared to the same proportion among persons with no disability (this category is combined with those who did not self-identify as having a disability). FY 2019 data show that PWD separated at higher rates than those with no disability.

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For voluntary separations, the percentage of PWD exceeded that of persons without disabilities. The inclusion rate for PWD was 5.11%, and for people without disabilities, including those who did not self-identify, the inclusion rate was 3.34%.

For involuntary separations, the percentage of PWD did not exceed that of persons without disabilities. There were no separations for PWD (inclusion rate of 0.00%, and for people without disabilities, including those who did not self-identify, the inclusion rate was 0.03%).

3. Using the inclusion rate as the benchmark, did the percentage of PWTD among voluntary and involuntary separations exceed that of persons without targeted disabilities? If “yes”, describe the trigger below.

a. Voluntary Separations (PWTD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
b. Involuntary Separations (PWTD)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

Using data from Table B1 to calculate the inclusion rates for PWTD, the following was found in FY 2019 data. Inclusion rates were calculated as the number of PWTD who separated among all PWTD in the workforce, compared to that same proportion among persons with no disability (this group also includes those who did not self-identify as having a disability and those with a disability that is not targeted).

For voluntary separations, the percentage of PWTD exceeded that of persons without disabilities. The inclusion rate for PWTD was 5.95%, and for people without disabilities, including those who did not self-identify, the inclusion rate was 3.44%. For involuntary separations, the percentage of persons without targeted disabilities exceeded that of PWTD. There were no separations among PWTD, and for people without targeted disabilities, the inclusion rate was 0.02%.

4. If a trigger exists involving the separation rate of PWD and/or PWTD, please explain why they left the agency using exit interview results and other data sources.

To understand the reasons why PWD were separating from the Agency, voluntary separation data were more closely reviewed, combined with other demographic information about employees with disabilities. Analysis considered any trends in employee separation by Division or Office, by occupation, by grade, and by age. The most influential trend observed in these data was a relationship between age and disability. The largest portion of voluntary separations for PWD and PWTD were retirements from federal service. The Bureau of Labor Statistics has similarly documented the age profile of the U.S. population of PWD (*Source: [bls.gov/spotlight/2018/labor-force-characteristics-of-people-with-a-disability/home.htm](https://bls.gov/spotlight/2018/labor-force-characteristics-of-people-with-a-disability/home.htm)*).

The very small number of PWD separated under involuntary conditions limits the reliability of general conclusions from these data. *[Redacted to protect privacy.]* At the same time, exploring the involuntary separation of this small volume of the PWD employee population may be informative. With that caveat, OEEO gathered data in FY 2019 about the reasons for involuntarily removing PWD to uncover any preventive action or support needed for current and future employees. Specifically, based on technical assistance suggested by EEOC's Office of Federal Operations (OFO), OEEO gathered qualitative data about PWD who were involuntarily separated from the Agency during FY 2017 and FY 2018. Data sources included records gathered as part of relevant EEO complaint activity filed by separated PWD prior to departure and interviews with the supervisors of these former PWD employees. The data included a small number of employees. *[Redacted to protect privacy.]* No patterns in results were evident that would form the basis for additional action.

The SEC invites all departing employees to complete an exit survey during their last pay period on SEC rolls. This survey asks exiting employees to self-identify if they have a disability and whether or not an accommodation was needed or provided. Among 51 employees who completed the exit survey in FY 2019, two self-identified as having a disability (3.92%)—and both employees reported that they were provided reasonable accommodation.

The small number of separating employees who self-identified with a disability and completed the exit survey limits the reliability of conclusions to be drawn from these data about the reasons why those employees left the Agency. To this end, in FY 2019 the Agency analyzed information from the exit survey across two fiscal years (FY 2018 and FY 2019) to support more general conclusions about why employees with disabilities left the SEC.

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In FY 2019, 56% of employees who separated and reported a disability indicated they left the SEC due to retirement. Of note, all departing employees who self-identified as having a disability were overwhelmingly more positive when responding to items on the exit survey related to diversity and inclusion when compared to employees who did not report a disability: 100% agreed that their workgroup was open to diverse viewpoints and backgrounds (compared to 73% of employees who did not report a disability); 89% agreed that their supervisor/team lead treated them with respect (versus 81%); 100% agreed their co-workers fostered an cohesive work environment (versus 77%); and 100% agreed policies and programs promoted diversity in the workplace (versus 60%). The results of the exit survey suggest employees who separated and indicated a disability were much more satisfied with SEC diversity and inclusion efforts than other separated employees.

The analyses described here were completed as part of the in-process barrier analysis for PWD and PWTD described more fully in Section VII, *infra*.

### Accessibility of Technology and Facilities

Pursuant to 29 C.F.R. § 1614.203(d)(4), federal agencies are required to inform applicants and employees of their rights under Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. § 794(b)) concerning the accessibility of Agency technology, and the Architectural Barriers Act of 1968 (42 U.S.C. § 4151-4157) concerning the accessibility of Agency facilities. In addition, agencies are required to inform individuals where to file complaints if other agencies are responsible for a violation.

1. Please provide the internet address on the Agency's public website for its notice explaining employees' and applicants' rights under Section 508 of the Rehabilitation Act, including a description of how to file a complaint.

Information specific to the accessibility of SEC facilities and technology under Sections 504 and 508 of the Rehabilitation Act is not currently consolidated into one specific notice or resource. Such information can be gathered from a variety of sources, including 17 C.F.R. §§ 200.601 to 200.670, *Enforcement of Nondiscrimination on the Basis of Handicap in Programs or Activities Conducted by the Securities and Exchange Commission* (SEC 504 regulations), SEC Administrative Regulation 24-10 (SECR 24-10), *Information and Communication Technology (ICT) Section 508/Accessibility Program*, and SEC Administrative Regulation 11-3 (SECR 11-3), *Leasing Program*.

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Information about the SEC's Accessibility/Disability Program is posted on SEC.gov: [sec.gov/disability/sec\\_access.htm](http://sec.gov/disability/sec_access.htm) and [sec.gov/accessibility/sec-accommodation-procedures.pdf](http://sec.gov/accessibility/sec-accommodation-procedures.pdf). SEC recently updated the Accessibility page of SEC.gov with applicable complaint-filing procedures under both Sections 504 and 508 of the Rehabilitation Act and the Architectural Barriers Act. Updates included an explanation of the Rehabilitation Act and Architectural Barriers Act, informal processes for providing feedback about accessibility of facilities and technology to SEC, contact information and specific complaint processes for filing a formal claim related to accessibility, and additional resources for individuals to learn more. An SEC Administrative Regulation (SECR) and SEC Operating Procedures (SECOP) setting forth the complaint process related to Sections 504 and/or 508 and the Architectural Barriers Act is drafted, expected to be finalized in FY 2020, and will be posted on SEC.gov thereafter.

Every SEC vacancy announcement posted to USAJOBS includes information about obtaining accommodations, including alternative methods to apply. The name of SEC's Special Programs Manager serving as the Selective Placement Program Coordinator (SPPC) is posted on OPM's website. OHR has built a separate page providing more in-depth information about hiring PWD ([sec.gov/ohr/sec-disability-program-page.html](http://sec.gov/ohr/sec-disability-program-page.html)). This page includes a link to an online form ([sec.gov/forms/ADA4Applicants](http://sec.gov/forms/ADA4Applicants)) for requesting accommodations in the technology-enabled job application process and information on alternate methods for contacting the Disability Program at the SEC.

The SEC also currently posts information on how to file an EEO complaint under, *inter alia*, Section 501 of the Rehabilitation Act at [sec.gov/eeoinfo/eeocomplaints.htm](http://sec.gov/eeoinfo/eeocomplaints.htm).

2. Please provide the internet address on the Agency's public website for its notice explaining employees' and applicants' rights under the Architectural Barriers Act, including a description of how to file a complaint.

Information is posted on SEC.gov ([http://www.sec.gov/disability/sec\\_access.htm](http://www.sec.gov/disability/sec_access.htm).) This page contains the required notice explaining employees' and applicants' rights under the Architectural Barriers Act, including how to file a complaint.

3. Describe any programs, policies, or practices that the Agency has undertaken, or plans on undertaking over the next fiscal year, designed to improve accessibility of agency facilities and/or technology.

SEC continues to improve upon current practices in place to ensure all *Information and Communication Technology* (ICT) is accessible to internal and external parties, as mandated by the Rehabilitation Act of 1973. The Agency's testing and validation process includes dedicated resources, testing tools, documented test processes, and a remediation process. The majority of ICT products and tools are tested before they are deployed. Upon completion of testing, project teams are notified of the defects and are instructed to submit, for approval, a Remediation Plan, indicating a definitive timeline in which the vendor will make the respective product 508 compliant.

The Office of Public Affairs has been instrumental in educating SEC staff on the guidelines and importance of Section 508 of the Rehabilitation Act. Training courses have been offered, as well as "how to" videos that inform staff of the process with making electronic information technologies accessible to all parties. Further, all Agency Contracting Officer Representatives (CORs) are required to complete Section 508 training in both FY 2019 and in FY 2020.

The Office of Information Technology will be active in supporting the SEC Administrative Regulation that defines roles and responsibilities of SEC staff to address formal Section 508 Complaint Procedures related to accessibility of IT programs and services.

### Reasonable Accommodation Program

Pursuant to 29 C.F.R. § 1614.203(d)(3), agencies must adopt, post on their public website, and make available to all job applicants and employees, reasonable accommodation procedures.

1. Please provide the average time frame for processing initial requests for reasonable accommodations during the reporting period. (Please do not include previously approved requests with repetitive accommodations, such as interpreting services.)

The SEC has established a reasonable accommodation (RA) processing timeline of 20 business days from the day of request to fulfillment, absent extenuating circumstances. Excluding the provision of adjustable height tables (AHTs), in FY 2019, 57% of initial requests for accommodation were processed within 20 business days.

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The overall time frame for processing RA requests in FY 2019 was affected by a number of organizational and business process changes that resulted in a 15% decrease from the FY 2018 timeliness result of 72%. Specifically, in FY 2019, changes to the procurement process for the purchase and installation of equipment and assistive technology impacted SECs ability to provide accommodations timely. In addition, the SEC initiated more consultations with medical experts at the Federal Occupational and Health (FOH) to complete medical reviews of employees with a wide range of conditions in an effort to improve their ability to do their jobs and maintain a high level of productivity. In FY 2019, medical reviews completed by FOH were processed in 37.8 days on average. Implementation of the new RA policy and operational procedures have also impacted efforts to implement a case management system in FY 2020. In FY 2021 an assessment will be conducted to determine whether the FY 2020 acquisition review of a new Human Resources Service Delivery (HRSD) module will be a viable option for automating the RA workflow and case tracking for RA. The implementation of an automated RA system is expected to address timeliness standards set by the new SEC RA policy. Changes to the RA policy and operational procedures will likely necessitate updates to training, job aids, notices, and other information sources in FY 2020 and beyond. The Agency is currently engaged in a review for system design of an automated electronic case management system for processing RA requests as described in Part H of this report (*supra*).

In the meantime, a more structured set of processes and procedures were developed and used in FY 2019 for capturing data related to processing RA requests. The time frame for processing initial requests for RA during FY 2019 was 22.9 days; RA requests, excluding AHT were processed in 28.9 days; and requests for AHTs were processed in 11.7 days, respectively.

2. Describe the effectiveness of the policies, procedures, or practices to implement the Agency's reasonable accommodation program. Some examples of an effective program include timely processing requests, timely providing approved accommodations, conducting training for managers and supervisors, and monitoring accommodation requests for trends.

The interactive portal, *AskHR*, on the Agency's intranet provides employees with information about reasonable accommodation and the processes for making requests. To support employees in making such a request, the Agency will replace the resource guide, "*Disability Accommodation Procedures*," with a new RA policy and operational procedures in FY 2020. This new guidance will be available on the interactive portal for everyone involved in the accommodations process. It explains how persons with disabilities should request accommodations, how requests are processed, and, as applicable, how requestors may seek review of decisions where a request has been denied.

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The SEC provides temporary accommodations to employees with short-term medical conditions even when the condition does not constitute a covered disability when supervisory officials and the Disability Program Office decide that it is appropriate to do so. In FY 2019, the SEC processed 119 Temporary Medical Telework (TMT) requests, processed 133 RA requests, of which 34 were requests for telework as a reasonable accommodation.

All new SEC managers participate in mandatory training regarding the reasonable accommodation process as part of the LD 307 *Fundamentals of Human Resource Management* training. Additionally, the SEC's *New Employee Orientation* includes a presentation on the following programs and processes: RA, TMT, Telework, and Leave (i.e., annual/sick, advance leave, and FMLA, etc.). This information is included in the New Employee Handbook and made available on the *AskHR* portal.

The SEC revisited and revised the business requirements to implement an electronic case management system that would allow employees to request reasonable accommodations personally and privately will continue in FY 2020 and beyond. While the project was delayed in FY 2019, OHR did create RA and TMT Request and Agreement forms to simplify the process for employees making requests; to ensure current, accurate, and complete information is obtained to reduce processing times; and to improve the reliability of records indicating customer approval of the reasonable accommodation(s) provided.

Additionally, OHR continues to find ways to strengthen the current manual tracking process, including tracking timeliness for processing RA requests, and meeting on a monthly basis with the CHCO to review and discuss timeliness and processing of all RA cases. The Agency will continue its efforts to implement the business requirements for the electronic case management system as further described in Part H of this report, *supra*.

Requests and information relative to Personal Assistance Services (PAS) remain available on *AskHR* interactive portal. The SEC intends to publish the new RA policy and operational procedures approved by the EEOC in FY 2020. During FY 2019, the Agency continued the review of the electronic case management system's business requirements, the new policy, and related procedural changes that support RA for employees and applicants for employment. Furthermore, changes to RA procedures will likely necessitate updates to training, job aids, notices, and other information sources in FY 2020 and beyond.

## Personal Assistance Services Allowing Employees to Participate in the Workplace

Pursuant to 29 C.F.R. § 1614.203(d)(5), federal agencies, as an aspect of affirmative action, are required to provide personal assistance services (PAS) to employees who need them because of a targeted disability, unless doing so would impose an undue hardship on the Agency.

1. Describe the effectiveness of the policies, procedures, or practices to implement the PAS requirement. Some examples of an effective program include timely processing requests for PAS, timely providing approved services, conducting training for managers and supervisors, and monitoring PAS requests for trends.

In FY 2018, the Disability Program Office updated the Agency's Disability Accommodation Procedures to include information related to the PAS that was made available on the *AskHR* interactive portal. In FY 2019, a new policy and operational procedures was established and approved by the EEOC for implementation. The SEC intends to publish the revised RA policy and operational procedures in FY 2020 that include information regarding PAS and submission requirements that will be made available on *AskHR*. In addition, the Agency modified its current contact for Personal Assistant and Reader Services to enhance the level of support and ensure consistent delivery of health care services. In FY 2019, employee usage of PAS services increased 25%. [Redacted to protect privacy.] The SEC continues to use the PAS form to capture requests. Data from this form will provide information that may be used to understand program adoption and effectiveness going forward.

## SECTION VI: EEO COMPLAINT AND FINDINGS DATA

### EEO Complaint Data Involving Harassment

1. During the last fiscal year, did a higher percentage of PWD file a formal EEO complaint alleging harassment, as compared to the government-wide average?

Yes 0                  No **X**                  N/A 0

2. During the last fiscal year, did any complaints alleging harassment based on disability status result in a finding of discrimination or a settlement agreement?

Yes 0                  No **X**                  N/A 0

3. If the Agency had one or more findings of discrimination alleging harassment based on disability status during the last fiscal year, please describe the corrective measures taken by the Agency.

During FY 2019, the Agency did not have any findings of discrimination alleging harassment based on disability status.

### EEO Complaint Data Involving Reasonable Accommodation

1. During the last fiscal year, did a higher percentage of PWD file a formal EEO complaint alleging failure to provide a reasonable accommodation, as compared to the government-wide average?

Yes 0                  No **X**                  N/A 0

2. During the last fiscal year, did any complaints alleging failure to provide reasonable accommodation result in a finding of discrimination or a settlement agreement?

Yes **X**                  No 0                  N/A 0

3. If the Agency had one or more findings of discrimination involving the failure to provide a reasonable accommodation during the last fiscal year, please describe the corrective measures taken by the Agency.

During FY 2019, the Agency did not have any findings of discrimination involving the failure to provide reasonable accommodation.

## SECTION VII: IDENTIFICATION AND REMOVAL OF BARRIERS

Element D of MD-715 requires agencies to conduct a barrier analysis when a trigger suggests that a policy, procedure, or practice may be impeding the employment opportunities of a protected EEO group.

1. Has the Agency identified any barriers (policies, procedures, and/or practices) that affect employment opportunities for PWD and/or PWTD?

Yes 0                      No **X**

2. Has the Agency established a plan to correct the barrier(s) involving PWD and/or PWTD?

Yes 0                      No 0                      N/A **X**

3. Identify each trigger and plan to remove the barrier(s), including the identified barrier(s), objective(s), responsible official(s), planned activities, and, where applicable, accomplishments.

### Analyses of Persons with Disability and Targeted Disability in the Workforce

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?
<p>There was a lower-than-expected participation rate of Persons with Targeted Disabilities (PWTD) in the total workforce and in promotions to higher level positions when this study was initiated based on data from FY 2014. The participation rate of PWTD in the SEC's workforce was less than 1% in FY 2014 based on the then-current Standard Form 256 (SF-256) <i>Self Identification of Disability</i>. Participation of PWTD in the permanent workforce has increased based on the revised categories reflected in the new October 2016 version of the SF-256 to 2.02% in FY 2018.</p> <p>In FY 2018 data, the participation rate of Persons with Disabilities (PWD) in the total permanent workforce and among higher salaried employees as documented in responses to earlier sections of Part J is below the goal of 12% established by Section 501 of the Rehabilitation Act. The participation rate of higher salaried employees is 8.64%.</p> <p>Participation of PWD, and sometimes PWTD, among new hires and internal competitive promotions to mission critical, senior grade level, and leadership positions and among those who were selected for career development is below their availability in the relevant or qualified applicant pools. Further, the participation rate of PWD and PWTD among employees receiving higher value awards and for PWD among those separating from the Agency in both FY 2017 and FY 2018 exceeded that expected based on their participation in the total workforce and in comparison to persons with no disability.</p>

Source of the Trigger	Specific Workforce Data Table
Workforce Data Table (if so identify the table)	Tables B1 through B9
EEO Complaint(s)	
Grievance(s)	
Climate Assessment Survey	
Exit Interview(s)	

Source of the Trigger	Specific Workforce Data Table
Anecdotal	
Other	

#### EEO Group(s) Affected by Trigger

EEO Group	
Persons with Disability	X
Persons with Targeted Disability	X

#### Barrier Analysis Process

Source of the Trigger	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	Workforce data tables and participation rates for PWD and PWTD from FY 2011 – FY 2018  Demographic information related to retention for separated and on rolls PWD
Complaint Data (Trends)	Yes	EEO complaint activity filed between FY 2012 – FY 2017 to identify any trends in complaints filed by PWD or PWTD
Climate Assessment Survey (e.g., FEVS)	Yes	Federal Employee Viewpoint Survey (FEVS) data to compare responses from persons with disabilities to those with no disability  Responses from PWD and PWTD to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018
Exit Interview Data	Yes	Responses provided by PWD to the Agency's exit survey data from FY 2016 through FY 2018
Focus Groups	No	
Interviews	Yes	Interviews with subject matter experts in OHR and OMWI and subject matter experts in disabled student service offices at Gallaudet University and Rochester Institute of Technology  Interviews with the managers of PWD involuntarily separated during FY 2018 to uncover any preventable reasons for separation
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Reports and regulations related to the employment of PWD and PWTD in the federal workforce offered by OPM, EEOC, DOL/ODEP, EARN, and other agencies and supporting organizations

Source of the Trigger	Source Reviewed? (Yes or No)	Identify Information Collected
Other (Please Describe)	Yes	<p>Laws and federally mandated hiring and promotions policies, practices, and procedures applicable to recruitment and retention of persons with disabilities</p> <p>The Agency's hiring and promotions policies, practices, and procedures applicable to people with disabilities, including those with targeted disabilities</p> <p>Selection case files (hiring and promotions) from FY 2014 and FY 2015</p> <p>Research literature, collective bargaining agreement language, and reports to better understand career development, promotion, retention, or recruiting and hiring processes related to PWD and PWTD</p> <p>Information about best practices in recruiting PWD in the federal government and private industry</p>

#### Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

#### Statement of Identified Barrier(s)

Barrier Name* (required)	Description of Policy, Procedure, or Practice
No barrier has yet been identified pending further analysis.	<p>While the Agency has not identified specific policies, practices, or procedures that represent a "barrier that affects employment opportunity for PWD or PWTD," representatives of OEEO and OHR agreed to take action toward enhancing equal employment opportunity for persons with targeted disabilities in the following areas:</p> <ul style="list-style-type: none"> <li>• Develop and implement policies and procedures specific to the recruitment, hiring, advancement, and retention of persons with disabilities (PWD) or persons with targeted disabilities (PWTD) that are aligned with the federal government-wide flexibilities and requirements for affirmative action;</li> <li>• Enhance consistency and structure in the posting, screening, and interview processes for selection; and</li> <li>• Create awareness on the part of hiring managers and subject matter experts (or others involved in the Agency's recruitment and selection processes) about the requirements for, and flexibilities available under, government-wide programs supporting PWD and the affirmative action plan for PWTD; and employment programs, especially reasonable accommodation and disability programs, supportive of PWD and PWTD.</li> </ul>

**Objective(s) and Dates for EEO Plan**

Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Staffing & Funding (Yes or No)	Modified Date From (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)	Objective
10/01/2015	10/31/2020	Yes	09/30/2020		<p>The objective of these efforts will be to continue to implement action plans developed to address the experience of PWTD and expand those plans to cover PWD in line with the revised EEOC regulations. Additional action will focus on:</p> <ul style="list-style-type: none"> <li>• Analysis of quantitative and qualitative data, including employee perceptions among the population of PWD and PWTD;</li> <li>• Implementing the recommended and required actions under Section 501 of the Rehabilitation Act of 1973;</li> <li>• Implementing, as feasible, revisions to the workforce data tables presenting information on PWD and PWTD, as per instruction from EEOC; and</li> <li>• Reviewing and updating agreed-upon action plans to address the broader population of PWD and/or to cover Section 501 regulatory changes.</li> </ul>

**Responsible Official(s)**

Title	Name	Performance Standards Address the Plan? (Yes or No)
Chief Human Capital Officer, OHR	Jamey McNamara	Yes
Director, OEEO	Peter J. Henry	Yes

**Planned Activities toward Completion of Objective**

Target Date (mm/dd/yyyy)	Planned Activities	Sufficient Staffing & Funding (Yes or No)	Modified Date From (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions among the population of PWD and PWTD as well as those without disabilities on, among other topics, the recruitment, hiring, promotion, recognition, and retention of talent.	Yes		11/6/2017
01/31/2018	The Agency will establish a cross-functional working group with representatives from OEEEO and OHR to develop action plans and implement required and recommended activity under Section 501 of the Rehabilitation Act of 1973.	Yes		11/02/2017
03/31/2019	OEEEO will gather data to determine the reasons for removal of PWD by reviewing data on file from any specific EEO activity and interviewing the supervisors of PWD who were involuntarily separated in FY 2017 and FY 2018.	Yes		3/31/2019
10/31/2020	OEEEO will implement feasible changes to the workforce data tables providing information on PWD and PWTD in collaboration with a shared service provider.	Yes	09/30/2019	

**Report of Accomplishments**

Fiscal Year	Accomplishments
2016	<p>OHR engaged in the following recruitment/outreach initiatives:</p> <ul style="list-style-type: none"> <li>Partnered with the Department of the Army's <i>Wounded Warriors</i> Program and Department of Labor to successfully implement a <i>Disability Hiring Event</i>, which resulted in the direct hire of two persons with disabilities;</li> <li>Participated in two Career Fairs: <i>EOP Career Fair</i> and <i>Veterans' Resource Expo</i>;</li> <li>Partnered with George Mason University and implemented the MASON Life Program at the SEC and sponsored internships for students with intellectual and physical disabilities;</li> <li>Partnered with DIAC to solicit participation in career fairs and leverage their professional networks/partnerships with other organizations;</li> <li>Explored recruiting strategies among various federal and state rehabilitation centers and affinity groups; and</li> <li>Attended and sponsored the New Perspectives training conference.</li> </ul> <p>OHR completed the following:</p> <ul style="list-style-type: none"> <li>Training managers and supervisors to ensure they are aware of how the Schedule A hiring authority is used by the SEC to hire persons with severe disabilities and the role of managers/supervisors in the recruitment and hiring process;</li> <li>Surveying disability organizations at universities near the SEC Home Office and Regional Offices to obtain information to improve recruitment of applicants with disabilities;</li> <li>Using the Hiring Checklist in strategic conversations with hiring managers to ensure they are aware of flexibilities available to hire persons with disabilities;</li> <li>Implementing and monitoring compliance with the Agency's selection policy memorandum outlining the requirements for screening and interviewing job candidates (published on September 26, 2016); and</li> <li>Developing and refining targeted recruitment strategy and performance metrics to measure effectiveness of the Agency's outreach efforts to applicants with disabilities.</li> </ul>

Fiscal Year	Accomplishments
2017	<p>In January 2017, the EEOC issued revised regulations under the federal government's obligation to engage in affirmative action for people with disabilities that modified Section 501 of the Rehabilitation Act of 1973. This revision addresses the hiring, retention, and career opportunity for persons with disabilities and those with targeted disabilities. OEEO had previously initiated barrier analysis focused on persons with targeted disabilities. As the Agency prepares for implementation of the revised regulation in FY 2018, OEEO will leverage or expand this prior work to include the population of persons with disabilities in the workforce.</p> <p>Representatives from OEEO and OHR implemented a number of actions responsive to the recommendations from the original study of the SEC's PWTB workforce, including:</p> <ul style="list-style-type: none"> <li>• Reviewing best practices and recommendations from OPM and the EEOC regarding the employment of PWD and PWTB;</li> <li>• Publishing revised policy on Requirements for Screening and Interviewing Job Candidates that requires documentation for each hiring action;</li> <li>• Developing an enhanced communication plan, including open information sessions, on the requirements under the revised policy for screening and interviewing job candidates (these sessions improve transparency and further educate SEC employees on available career opportunities and resources);</li> <li>• Conducting training open to all employees and mandatory training for anyone involved in the hiring or promotions process;</li> <li>• Increasing the quality of interaction between HR specialists and hiring managers toward more strategic conversation and the consideration of hiring options that take disability into account;</li> <li>• Reviewing OHR's FY 2017 Strategic Recruitment Plan;</li> <li>• Resurveying the workforce in July and August of 2017 to encourage review of employee data and self-identification of disability;</li> <li>• Continuing to evaluate workforce and applicant flow data to determine progress towards removing the potential barriers for PWTB, including reviewing the impact of revised disability and targeted disability categories in the revised SF-256 as they influence participation of PWD and PWTB;</li> <li>• Verifying the hiring and assignment of a Special Programs Manager within OHR focused on supporting the recruitment, hiring, development, and retention of PWD and PWTB; and</li> <li>• Developing an enhanced communications plan, in concert with DIAC, which included hosting guest speakers, events and open information sessions supporting the population of PWD and PWTB.</li> </ul> <p>In Quarter (Q2) and Q4 of FY 2017, representatives from OEEO and OHR worked together on transitioning to the new October 2016 version of SF-256 Self-Identification of Disability. OHR recoded employees on rolls against the categories of disability on the new form in Q2 of FY 2017. OHR and OEEO jointly sponsored a resurvey of the workforce in July and August 2017 (Q4). As part of this resurvey effort, OHR provided each employee individualized information showing their current demographic and disability coding. The resurvey encouraged employees to verify and update their disability information. Employees could update their personal information through either employee self-service or with individualized support from OHR for personnel processing. The resurvey of the workforce included a broad-based outreach and communications campaign to all employees, to include messaging describing the value of self-identification, as suggested by OPM's Office of Diversity and Inclusion. Pre- and post-analysis of the resurvey effort showed that 76 employees had their disability information change in some way with a net increase of 20 persons with disabilities (7%) and three persons with targeted disabilities (3%).</p> <p>Further, to support the accurate reporting of information about PWD and PWTB from FPPS, OEEO contracted with a service provider to develop an automated tool that extracts, accurately codes, summarizes, and provides reporting on demographic information about employees and applicants for employment. This tool, the Equal Employment Opportunity-Analytic Tool (EEO-AT), was used to generate the data for workforce data tables in this report as well as the responses to data-related questions. The EEO-AT provides for more efficient and accurate summary data, more effective interface with FedSEP, and greater facility for OEEO to respond to anticipated and future changes to reporting demographic information.</p>

Fiscal Year	Accomplishments
2018	<p>The following provides detail about OEE0's analytic work in support of this analysis during FY 2018.</p> <ol style="list-style-type: none"> <li>1. OEE0 conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, promotional opportunity, recruitment, and hiring for leadership positions. OEE0 analyzed 1,360 responses and narrative comments from 469 employees. Among the respondents were 90 responses from employees who self-identified as having a disability other than those targeted and 34 responses from PWTD. Analyses compare responses on a variety of index and item level results. PWD and PWTD reported more favorable perceptions in the areas of: interview processes, availability of information about the EEO process and related policies, supervisory relations, work team inclusion, and training for success within occupation.</li> <li>2. In line with implementation of Section 501 requirements, OEE0 facilitated the Agency's decision to include persons hired under authorities that take disability into account as PWD. This action allowed the Agency to target support, development, and retention efforts toward two persons hired under Schedule A, part u and 38 veterans, who received hiring preference based on a service connected disability, as PWD.</li> <li>3. OEE0 used a series of self-service workforce data summary tools to review the demographic composition and disability status data within specific occupations of the entire workforce, newly hired staff, AFD, and separations by critical organizational characteristics.</li> <li>4. OEE0 analyzed the increase in self-identification from five-year trend data. Analysis uncovered the positive impact of annual employee demographic resurveys and more inclusive definitions of PWD and PWTD between FY 2013 and FY 2018. Specifically, we observed a 0.93% point increase in self-identified PWD after the first annual employee resurvey in FY 2015, an additional 0.90% point increase after the changes to SF-256, and a 0.66% point increase as a result of the resurvey in FY 2018.</li> <li>5. OEE0 analyzed the number and percent of complaint records filed by PWD between FY 2013 and FY 2017. Results were concerning in the relative volume of complaint activity filed by PWD. The inclusion rate of PWD among formal or informal EEO complaint related activity was three times that of persons with no disability. Further, complaint activity for PWD was more likely to lead to the formal stage.</li> <li>6. With respect to retention, OEE0 investigated turnover data for PWD and PWTD among those who separated the Agency in FY 2016 through FY 2018. These data revealed that PWD separations were more frequently due to retirement as compared to separations among persons with no disability; almost half of the PWD separations (48.00%) were coded for retirement, compared to about one third (34.75%) of separations among persons with no disability. Further review of these data established a correlation between age, disability, and retirement. PWD represent more than twice the proportion of the separations for employees over the age of 60 (17.24%) as compared to their participation among separations for persons under 40 (6.44%). On average, PWD in the Agency workforce are older (PWD average age = 49.32; No Disability average age = 46.88, <math>t = -4.68</math>, <math>p &lt; .001</math>), and, therefore, more likely to be eligible for retirement.</li> </ol> <p>As further explored below, OEE0 and OHR established a strong cross functional approach to supporting PWD and PWTD in the Agency's workforce, while leveraging OMWI's EAG network. In recognition of this partnership, leaders in OHR and OEE0 were invited to share their thoughts in a cross Agency panel discussion at the July meeting of the Federal Exchange on Employment with Disabilities (FEED).</p> <p>OHR and OEE0 jointly sponsored a resurvey of the workforce in July and August 2018 following successful resurvey efforts in prior years. OHR provided each employee individualized information showing their current demographic and disability coding. Pre- and post-analysis of the resurvey effort showed that 57 employees had their disability information change in some way with a net increase of 22 PWD (6.8%) and six PWTD (7.4%).</p> <p>To understand better how the Agency can support PWD and PWTD, OHR updated the exit survey. As of September 2018, the Agency's survey of departing staff, who self-identify as PWD asks: "What accommodations, personal assistance, or other support could improve the inclusion and advancement of individuals with disabilities at the SEC?" OHR plans to use and share the information with other stakeholders, including OEE0 and DIAC in support of current and future employees with disabilities.</p> <p>OHR continued to make significant enhancements to the SEC's training and development programs, which provide support for the career growth of PWD. As described above in Part J, Section IV, the SEC added to the offerings within its career development program.</p> <ul style="list-style-type: none"> <li>• OHR developed and worked with NTEU to finalize a Competency Assessment Survey to inform workforce planning efforts and shape the future of SEC-wide training and development programs. The survey was launched in September 2018, and data collection continued into the new fiscal year.</li> <li>• In early FY 2018, OHR-SECU implemented development plans for specific occupations or combinations of occupations in the Agency's learning management system, LEAP. The development plan for examiners and accountants includes suggested developmental activities and training classes focused on specific technical knowledge and skill. Further, LEAP provides career path information based on the career ladders and occupational series to enable employees to identify the next step in development within occupation or to find lateral transfer opportunities based on competency profile similarity. These tools support employees in pursuing career growth within the Agency.</li> <li>• SECU expanded offerings under the <i>Career Horizons</i> program that provide individualized support for employees in creating development plans and pursuing career growth.</li> </ul>

Fiscal Year	Accomplishments
2018 (continued)	<p>In recognition of the critical importance of mentoring to support career development, the Agency considered options for and developed a pilot mentoring program. In June and July of 2018, a pilot was successfully launched leading to the first cohort of 30 participants. An orientation session for both mentors and participants was held on September 28, 2018. Throughout FY 2019, mentors will meet with participants on a periodic basis. Formal events are planned to help guide the mentoring relationship toward success. To encourage participation among PWD, DIAC shared information about the mentoring program with their membership by quarterly meetings and their shared mailing list.</p> <ul style="list-style-type: none"> <li>• In total, 142 permanent employees submitted a statement of interest in the program. Among them, eight (5.63%) were PWD, for an inclusion rate of 2.09%. By way of comparison, the inclusion rate of persons with no disability and those who did not self-identify among applicants was 3.37%.</li> <li>• On a first come, first serve basis, 30 participants were accepted into the mentoring program (29 permanent and one temporary employee) and matched with volunteer mentors with either or both deep technical expertise and leadership experience. The 29 permanent employee participants include two (6.90%) PWD, for an inclusion rate of 0.52%. The inclusion rate of persons with no disability among participations was 0.68%.</li> <li>• OHR will partner with OMWI and DIAC to improve PWD participation in future mentoring program offerings.</li> </ul>
2019	<p>The following provides detail about OEEO's analytic work in support of this analysis during FY 2019.</p> <ol style="list-style-type: none"> <li>1. In line with implementation of Section 501 requirements, OEEO facilitated the Agency's decision to include persons hired under authorities that take disability into account as PWD. This action allowed the Agency to target support, development, and retention efforts toward two persons hired under Schedule A, Part U, and 39 veterans who received hiring preference based on a service connected disability, as PWD.</li> <li>2. OEEO used a series of self-service workforce data summary tools to review the demographic composition and disability status data within specific occupations of the entire workforce, newly hired staff, AFD, and separations by critical organizational characteristics. Workforce data demonstrate the steady participation of PWD and PWTD meeting the goals established for both PWD and PWTD among lower salaried employees and PWTD among employees in the higher salary cluster. More work will be needed to meet the participation of PWD in the higher salary cluster.</li> <li>3. With respect to awards and recognition, OEEO ran multiple regressions to assess the influence of various factors on awards distribution outcomes aggregated by award amounts, award hours, and award counts. Data were analyzed for five years, FY 2013 through FY 2017. The sample sizes were small, limiting the reliability of the inconsistent effects found for PWD.</li> <li>4. Based on technical assistance suggested by EEOC's Office of Federal Operations (OFO), OEEO gathered qualitative data about the involuntary separation of PWD during FY 2019. Data sources included records gathered as part of relevant EEO complaint activity filed by separated PWD prior to departure and interviews with the supervisors of former PWD employees. The data included a small number of employees. No patterns in results were evident that would form the basis for additional action.</li> <li>5. OEEO reviewed separations data among PWD in FY 2019. A larger proportion of the PWD population separated from the Agency, as has been found in prior years. More often than is found for persons with no disability, PWD separate through voluntary retirement; 60.00% of PWD separations were due to voluntary retirement, unfortunately an additional 10.00% of the separated PWD died during FY 2019. By way of comparison, among the separated employees identified as having no disability, 28.46% retired and 0.81% died during FY 2019. The relationship between age, disability, and retirement is a key explanatory variable to understand separation data for PWD.</li> <li>6. Relatedly, OEEO worked with OHR to evaluate the perceptions of separated employees who are PWD from the Agency's Exit Survey. These analyses are summarized in other sections of this report.</li> <li>7. OEEO led an inter-Agency working group to support the implementation of changes to procedures required or suggested by the revised Section 501 regulation. This working group met two times in FY 2019 and continued to provide support for agencies seeking to improve conditions for PWD across the government. In total 14 agencies are represented. The working group helps agencies share best practices and support their own workforce more effectively. In early FY 2020, OEEO facilitated this working group's visibility and achievement in a presentation at the monthly EEO Director's meeting, thereby, increasing the group's influence in the EEO community.</li> <li>8. In FY 2019, OEEO collaborated with cross functional intra-Agency representatives to develop and publish a suite of interactive web pages sharing tips for working inclusively with PWD in the workforce. These tips include resources both within the Agency and externally hosted focused on helping supervisors and coworkers gain a deeper understanding of how their words and actions may impact PWD differently based on their particular experiences. This effort involved strong participation from DIAC, OHR, OMWI, and the Office of Public Affairs. The resources were compiled between July and September and made available to the workforce during National Disability Employment Awareness Month (NDEAM).</li> </ol>

Fiscal Year	Accomplishments
2019 (continued)	<p>9. In concert with launching the disability inclusion tips, DIAC, OHR, OMWI, and OEEO hosted invited speakers whose expertise and study focuses on self-identification and support for PWD (among other groups). That event closed out a highly successful set of NDEAM events including an eyeglasses donation drive in support of the Lion's Club's well known program.</p> <p>10. OPA continued to expand the support for PWD when they are interacting with SEC staff and resources. During FY 2019, the external website was modified for increased accessibility to a wider range of members of the public.</p> <p>11. OEEO continued to work on implementing the changes required by OFO's instructions for MD-715 2.0. Working with data experts in other agencies, OEEO leads the community to understand better the implications of 2.0 design for reporting and analysis. In particular, OEEO supported work in the following areas:</p> <ul style="list-style-type: none"> <li>— Suggested enhancements to the data provided about applicant flow data (AFD) from OPM's USAStaffing systems. These suggestions helped to ensure that the revised reporting from AFD included variables to distinguish supervisory roles and the hiring of permanent versus temporary staff.</li> <li>— Summarized and analyzed differences in self-identification for internal SEC staff from the records of applicants, even those who are also SEC staff, filed on the applicant profile in USAStaffing. Among data in AFD over the five year period from FY 2012 to FY 2018, more than 30% of the records are coded as "I do not wish to identify my disability." Over the same time period, self-identification among internal employees grew so that in FY 2019 more than 85% of staff are specifically identified as to their disability status. The differences in results from AFD compared to internal records suggests need for additional work to encourage applicants to self-identify in OPM's records so as to provide a clearer and more accurate picture of the government's efforts to recruit PWD into federal service.</li> <li>— Engaged with contracted resources to complete the work necessary for updating and expanding the EEO-AT for MD-715 2.0. As found in the annual program status report, OEEO completed the 2.0 design. OEEO also worked to align workforce analysis by race and gender in Part E of this report with the operational definitions that workforce underlie analysis by disability in Part J. Consistent definitions will help ensure OEEO's continued influence through data driven practical analytics going forward.</li> </ul>

4. Please explain the factor(s) that prevented the Agency from timely completing any of the planned activities.

Updates to the EEOC's timelines, instructions, and requirements under MD-715 2.0 extended the timeline for implementing feasible changes to workforce data tables providing information on PWD and PWTD in collaboration with a shared service provider. The modified date is September 30, 2020.

5. For the planned activities that were completed, please describe the actual impact of those activities toward eliminating the barrier(s).

As described in other sections of Part J above, after a steady increase in participation over the past seven years, the Agency achieved the goals established under Section 501 of the Rehabilitation Act for both PWTD and PWD at the lower salary levels. Because of the relatively small size of the PWD and PWTD populations, small changes in workforce participation, year over year, can have large impacts on the observed rates of change. Nonetheless, the SEC notes the following indications of growth within this employee population. From FY 2013 to FY 2019:

- The permanent workforce of PWTD experienced net growth of 12 persons or 16.67%, which outpaces the 7.13% net growth in the total permanent workforce over that same time period. Participation of PWTD in the total permanent workforce rose from 1.81% to 1.97%. PWTD among higher salaried employees increased from 1.50% to 1.95% (56 to 83 PWTD employees).
- The permanent PWD workforce experienced net growth of 141 persons or 66.82%. Participation of PWD rose from 5.60% in the total workforce to 8.72% and from 4.93% to 8.59% among higher salaried employees, with an additional 158 persons in higher salaried jobs identified as PWD.

Trend data over time revealed that increased participation resulted from greater self-identification based on employee resurveys, changes to categories defining PWD, and a general increase in the proportion of SEC staff in higher salaried jobs. OEEO will continue to monitor the PWD and PWTD workforce participation for signs of continued or accelerated growth and consider effects of underreporting on these statistics.

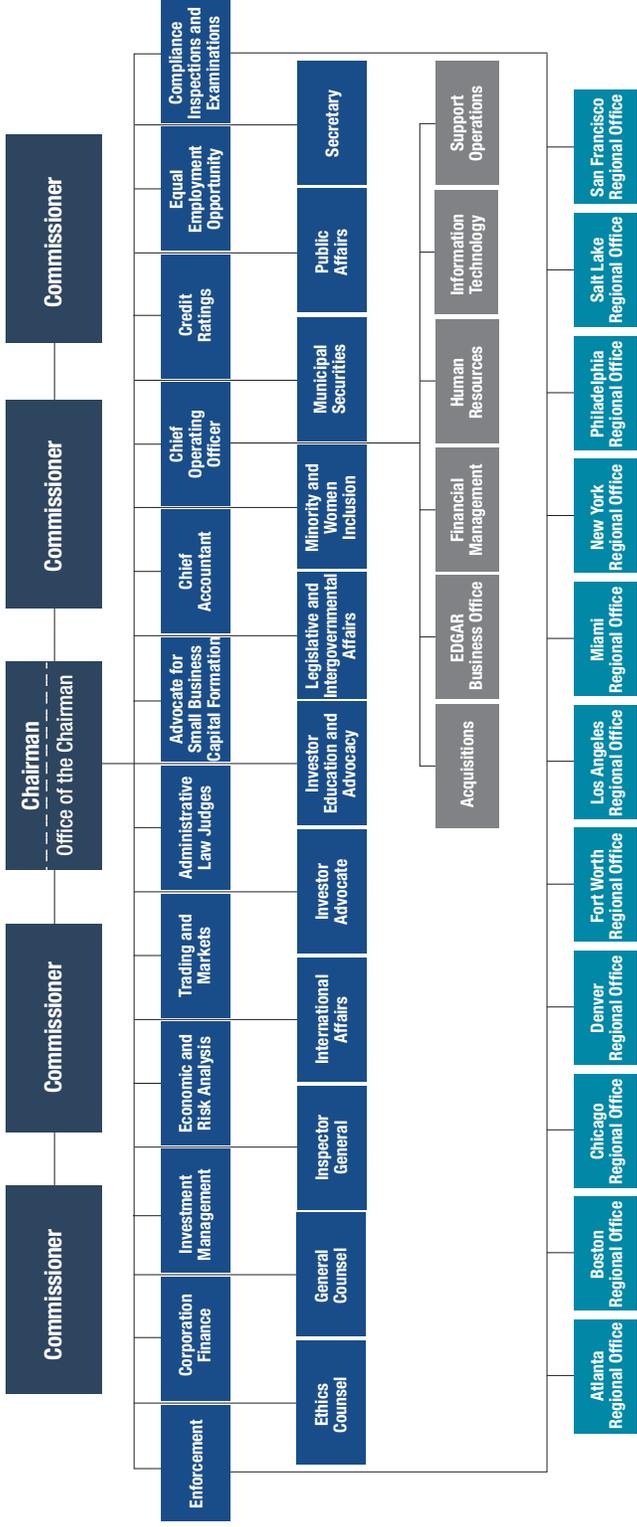
Data from SF-256s collected prior to October 2016 were recharacterized in line with the definitions found in the revised form in order to estimate over-time trends. Accordingly, the numbers of employees who are reported in this trend analysis as PWTD and/or PWD in prior years may underestimate the workforce due to the addition of disability and targeted disability categories.

6. If the planned activities did not correct the trigger(s) and/or barrier(s), please describe how the Agency intends to improve the plan for the next fiscal year.

Triggers from the original study of PWTD continue to require focused attention toward improvement. Starting in FY 2016 and through FY 2019, representatives of OEEO and OHR initiated and completed actions intended to address the recommendations to improve equal employment opportunity. These actions were completed in FY 2019. The Agency will be implementing additional required and recommended actions during FY 2020 and beyond. In the meantime, the plan to address identified triggers for PWD and PWTD focuses on developing SEC's capability to generate and review the data called for in this Part. Further analysis of the PWD and/or PWTD population will be considered under the framework for prioritizing barrier analysis work embedded in our Agile project planning approach that was referenced in Part E, *supra*.

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# ATTACHMENT 1. SEC ORGANIZATIONAL CHART



# SEC'S ORGANIZATIONAL STRUCTURE

The SEC's leadership includes a Chairman and four Commissioners located at the SEC's Headquarters in Washington, DC.

The SEC consists of five presidentially-appointed Commissioners with staggered five-year terms. One of the Commissioners is designated by the President as the Chairman of the Commission—the Commission's chief executive. The Agency's functional responsibilities are organized into five Divisions and 25 Offices, each of which is headquartered in Washington, DC. The Commission's staff is located in Washington, DC, and 11 Regional Offices throughout the country. Divisions and Offices include:

## Five Divisions:

- Corporation Finance
- Enforcement
- Investment Management
- Economic and Risk Analysis
- Trading and Markets

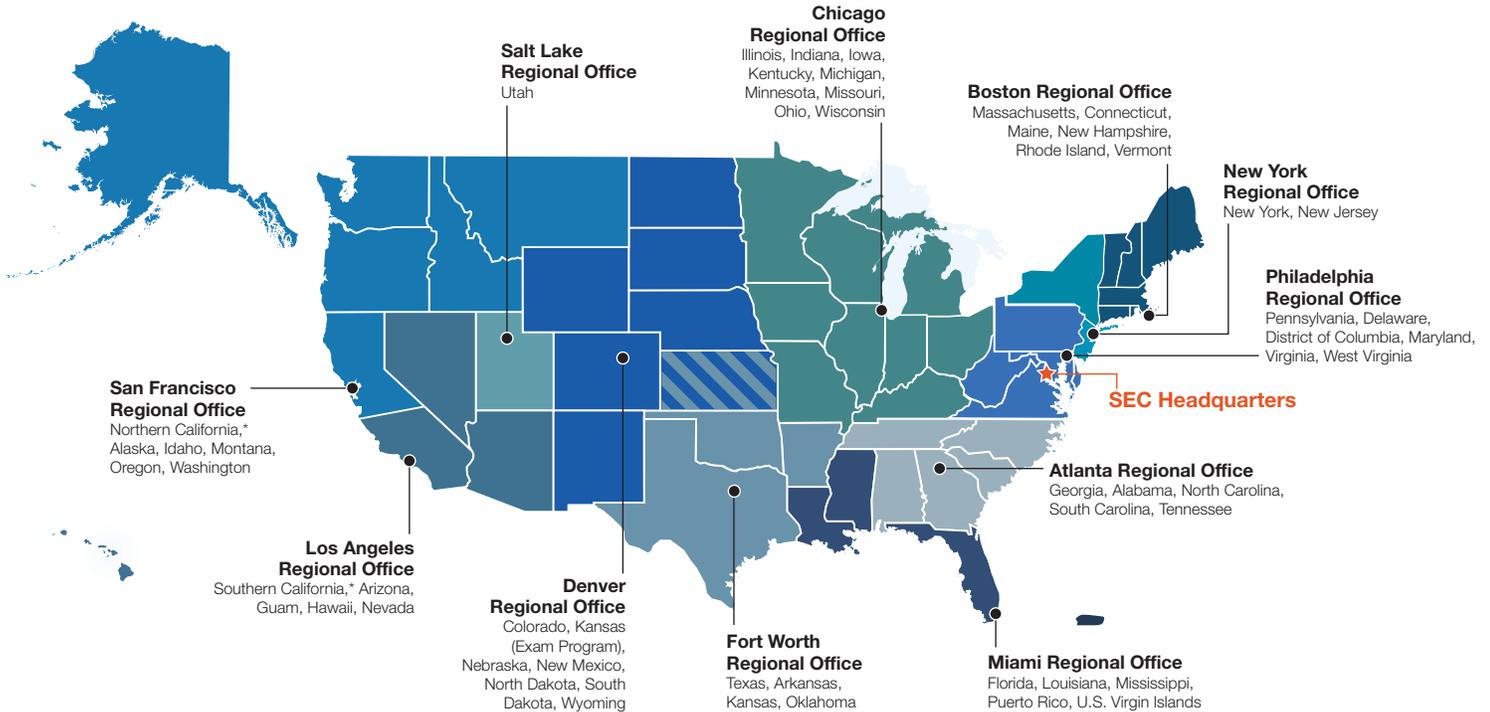
## Twenty-five Offices:

- Acquisitions
- Administrative Law Judges
- Advocate for Small Business Capital Formation
- Chairman
- Chief Accountant
- Chief Operating Officer
- Compliance Inspections and Examinations
- Credit Ratings
- EDGAR Business Office
- Equal Employment Opportunity
- Ethics Counsel
- Financial Management
- General Counsel
- Human Resources
- Information Technology
- Inspector General
- International Affairs
- Investor Advocate
- Investor Education and Advocacy
- Legislative and Intergovernmental Affairs
- Minority and Women Inclusion
- Municipal Securities
- Public Affairs
- Secretary
- Support Operations

The SEC's Regional Offices report to both the Division of Enforcement and the Office of Compliance Inspections and Examinations and operate within the authority of the Commission.

- Atlanta Regional Office
- Boston Regional Office
- Chicago Regional Office
- Denver Regional Office
- Fort Worth Regional Office
- Los Angeles Regional Office
- Miami Regional Office
- New York Regional Office
- Philadelphia Regional Office
- Salt Lake Regional Office
- San Francisco Regional Office

## U.S. SECURITIES AND EXCHANGE COMMISSION HEADQUARTERS AND REGIONAL OFFICES



\* Northern California includes ZIP codes 93600 and above, and 93200–93299  
Southern California includes ZIP codes 93599 and below, except 93200–93299

# ATTACHMENT 2. EQUAL EMPLOYMENT OPPORTUNITY POLICY

**O**ur success in accomplishing the SEC's mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation depends on you and your commitment to being fully engaged in what we do. As Chairman of the SEC, I am committed to a work environment that helps to achieve this goal—a work environment that is respectful, inclusive, and allows you to contribute to the best of your ability.

For this reason and because it is the right thing to do, we must all strongly support our nation's equal employment opportunity (EEO) laws. These laws apply to the SEC's personnel policies, practices, and procedures, including but not limited to: recruitment, hiring, promotion, separation, performance evaluation, training and career development, assignment of duties, details, reassignment, compensation, awards, and benefits. EEO laws protect all employees, applicants for employment, and former employees from discrimination on the basis of race, color, sex (which is not limited to conduct that is sexual in nature and includes pregnancy, gender identity, sexual orientation, and transgender status), age (40 and older), religion, national origin, disability, or genetic information.

Each of us must support an individual's right, without fear of retaliation, to (1) participate in the EEO process and (2) oppose employment practices which are perceived as discriminatory in the workplace. We can all contribute to making the SEC a model EEO employer by ensuring that discrimination, harassment, and retaliation are simply not tolerated. We must also seek to resolve workplace disputes at the earliest opportunity; to do otherwise would undermine the collegial and respectful environment that we expect at the SEC.

All employees must fully participate in investigations into allegations of discrimination, harassment and/or retaliation. Managers and supervisors must also participate in the alternative dispute resolution program for resolving EEO allegations, Conflict-to-Resolution (C2R), when the use of C2R is approved by the EEO Director or Deputy Director.

If you believe you have been subjected to discrimination, harassment, or retaliation in violation of federal EEO laws or SEC policy, please contact the Office of Equal Employment Opportunity (OEEO) or an EEO Counselor within 45 calendar days of the employment action you believe to be discriminatory to preserve your right to participate in the formal EEO complaint process. You can reach OEEO by telephone (202) 551-6040, fax (202) 772-9316, or in person (SPIII, Suite 2900) to allege discrimination and/or obtain additional information regarding your EEO rights and responsibilities. TTY users should call the Federal Relay Service at (800) 877-8339 to be connected with OEEO. OEEO's internal website provides additional information.

Thank you for your continued efforts to make the promise of equal employment opportunity a reality.

  
\_\_\_\_\_  
JAY CLAYTON

February 13, 2019

\_\_\_\_\_  
DATE

ATTACHMENT 3.  
SEC STRATEGIC PLAN  
FY 2018–FY 2022

The Agency *Strategic Plan* is attached for reference.

# ATTACHMENT 4. POLICY ON PREVENTING HARASSMENT (PPH)

**A**s Chairman of the SEC, I am committed to a work environment that is respectful, inclusive, and allows you to deliver maximum performance in support of the SEC's mission. Harassment is absolutely prohibited because it is wrong, negatively impacts our collegial work environment, and undermines our mission.

The SEC prohibits harassment on each of the following equal employment opportunity (EEO) bases: race, color, sex (which is not limited to conduct that is sexual in nature and includes pregnancy, gender identity, sexual orientation, and transgender status), age (40 and older), religion, national origin, disability, genetic information, or in retaliation for engaging in protected EEO activity. Harassing conduct against or by any employee, intern, contractor, or applicant for employment has no place at the SEC and will not be tolerated.

The SEC will address and put an immediate end to conduct—whether verbal, written, or physical—of which it is aware that is offensive (i.e., degrading, derogatory, or demeaning) or unwelcome on any EEO basis before it rises to the level of illegal harassment. EEO-based harassment may be illegal where: (1) enduring the conduct is a condition of continued employment or is the basis of a decision affecting the terms, conditions, or privileges of employment; or (2) the conduct is sufficiently severe or pervasive to create a hostile work environment. Lack of intent to offend or harass does not excuse the conduct. Immediate and appropriate corrective and disciplinary action will be recommended when it is determined that harassment has occurred.

Among other things, the Policy on Preventing Harassment (PPH) prohibits the use of SEC equipment or networks to access or distribute material that is offensive on any of the bases listed above, including, but not limited to, sexually explicit, pornographic, sexist, racist, or homophobic material, or material that is offensive to a religious belief. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical harassment of a sexual nature should never occur at the SEC. In addition, some personal relationships (romantic or otherwise) involving SEC employees—particularly between managers/supervisors and their subordinates—may raise EEO-based harassment concerns. Such relationships may create perceptions of favoritism by other employees that lead to allegations of an EEO-based hostile work environment. Consensual relationships, once they end, may also give rise to claims that the relationships were not consensual or that continued overtures have become offensive or unwelcome. A supervisor who has a romantic or sexual relationship with a subordinate employee or an applicant when the supervisor has a role in the selection process must notify his or her supervisor immediately.

The PPH applies in places where SEC employees, interns, and on-site contractors work, and at SEC-sanctioned activities and events, including those outside of the workplace. The PPH prohibits the use of social media (e.g., Twitter, Tumblr, Facebook, LinkedIn, Instagram, Flickr, etc.) to engage in harassment covered by this policy.

#### **Reporting Harassment**

Those who believe they are victims of harassment, or are otherwise aware of conduct that is offensive or unwelcome on an EEO basis, are encouraged to report the conduct immediately, preferably within three business days from the date of the alleged incident, to the Office of EEO (OEEO) and/or any SEC manager/supervisor.

To report harassment or to obtain more information on the SEC's PPH, EEO Policy, or other EEO-related matters, please contact OEEO by telephone (202) 551-6040, fax (202) 772-9316, or in person (SP111, Suite 2900). OEEO will accept and process anonymous allegations to the extent possible. Additional information is also available on OEEO's internal website. TTY users should call the Federal Relay Service at (800) 877-8339 to be connected with OEEO.

#### **Reporting Responsibility of Managers/Supervisors**

Managers/supervisors must immediately contact OEEO upon learning of conduct that might be inconsistent with the PPH. Failure to do so may result in disciplinary or other corrective action.

#### **Harassment Inquiry**

SEC management in coordination with the Offices of General Counsel, Human Resources, and/or OEEO, as appropriate, will conduct a prompt, thorough, and impartial inquiry into conduct that may violate the PPH. All SEC employees must fully participate in any such inquiry. As part of this inquiry: (1) the rights and obligations under the PPH will be explained to the involved parties and (2) the behavior considered objectionable will be explained to the alleged harasser who will be instructed to stop the behavior immediately.

#### **Retaliation Prohibited**

The SEC will not tolerate retaliation against anyone who reports harassing conduct or cooperates with or participates in any inquiry into alleged harassing conduct.

#### **PPH Inquiry/EEO Complaint**

A harassment inquiry conducted pursuant to the PPH is separate from, and may be conducted at the same time as, a related EEO complaint processed under Equal Employment Opportunity Commission regulations set forth in 29 C.F.R. Pt. 1614. An inquiry under the PPH process does not satisfy an individual's responsibility to initiate EEO counseling within 45 calendar days of an act of alleged discrimination or retaliation under the EEO complaint process, should the individual choose to pursue an EEO complaint.

#### **Confidentiality**

Information provided to SEC officials in connection with a harassment inquiry conducted pursuant to the PPH will be kept confidential to the extent possible and will be shared only on a need-to-know basis or as required by law. Unauthorized disclosure of confidential information may result in disciplinary action.

Thank you for your continued efforts to make the SEC a workplace that is inclusive, respectful, and free of harassment.

February 13, 2019

DATE



JAY CLAYTON

# ATTACHMENT 5. REASONABLE ACCOMMODATION AND PERSONAL ASSISTANCE SERVICES PROCEDURES

To review the SEC's reasonable accommodation and personal assistance service procedures, please visit [SEC.gov/ohr/sec-disability-program-page.html](https://www.sec.gov/ohr/sec-disability-program-page.html).

# ATTACHMENT 6. SEC'S ALTERNATIVE DISPUTE RESOLUTION CONFLICT TO RESOLUTION PROCEDURES

## SEC OPERATING PROCEDURES

U.S. Securities and Exchange Commission  
Office of Equal Employment Opportunity  
Washington, D.C. 20549

SECOP 27-1  
June 3, 2019

### PROCEDURES TO IMPLEMENT THE SEC'S POLICY ON PREVENTING HARASSMENT

These operating procedures implement the U.S. Securities and Exchange Commission's (SEC) Policy on Preventing Harassment (PPH) and apply to all SEC divisions and offices. These operating procedures will be reviewed at least every three years to ensure the contents remain relevant and reflect current Federal laws, rules, regulations, and SEC policies and procedures and incorporate equal employment opportunity best practices.

**PETER HENRY**  
Digitally signed by PETER HENRY  
Date: 2019.06.03 10:21:08 -04'00'

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Peter J. Henry  
Director  
Office of Equal Employment Opportunity

**KENNETH JOHNSON**  
Digitally signed by KENNETH JOHNSON  
Date: 2019.06.03 18:30:45 -04'00'

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Kenneth A. Johnson  
Chief Operating Officer  
Office of the Chief Operating Officer

## SEC OPERATING PROCEDURES

### PROCEDURES TO IMPLEMENT THE SEC'S POLICY ON PREVENTING HARASSMENT

#### 1. Purpose and Scope

These procedures supplement the U.S. Securities and Exchange Commission's (SEC) [Policy on Preventing Harassment](#) (PPH). The goal of the policy is to prevent or stop conduct that is offensive or unwelcome on the basis of a protected equal employment opportunity (EEO) category before it rises to the level of illegal harassment.

These procedures establish a consistent and effective protocol for the prompt reporting of allegations of harassment; prompt inquiry into allegations of harassment; and prompt and appropriate corrective action, as necessary. The goal is to identify and stop potentially offensive conduct (even if not unlawful) from occurring at work as swiftly as possible and to prevent it from escalating and/or recurring. This is accomplished through open dialogue and education about workplace expectations at the SEC and through referral of matters raised under these procedures, as necessary under the circumstances, for consideration of appropriate corrective action by management.

#### 2. Authorities

- SEC Policy on Preventing Harassment;
- SEC Equal Employment Opportunity Policy;
- SEC Administrative Regulation 6-20, Disciplinary and Adverse Actions;
- Collective Bargaining Agreement (CBA) between SEC and the National Employees Treasury Union, Art. 34, Disciplinary Actions;
- CBA, Art. 35, Adverse Actions;
- Title VII of the Civil Rights Act of 1964;
- Equal Pay Act of 1963;
- Rehabilitation Act of 1973;
- Age Discrimination in Employment Act of 1967;
- Genetic Information Nondiscrimination Act of 2008;
- 5 U.S.C. §§ 7503(a) & 7513(a);
- Executive Order 11478 of 1969 as amended May 28, 1998 by Executive Order 13087;
- Equal Employment Opportunity Commission (EEOC), *Enforcement Guidance on Vicarious Employer Liability for Unlawful Harassment by Supervisors* (June 18, 1999);
- 29 C.F.R. Part 1614, Federal Sector Equal Employment Opportunity;
- Merit Systems Protection Board (MSPB), *Sexual Harassment in the Federal Workplace: Trends, Progress, Continuing Challenges* (1995);
- MSPB, *Update on Sexual Harassment in the Federal Workplace* (March 2018); and
- EEOC, *Select Task Force on the Study of Harassment in the Workplace, Report of Co-Chairs Chai R. Feldblum & Victoria A. Lipnic* (June 2016).

**3. Effective Date**

The provisions of these operating procedures are effective immediately.

**4. Applicability**

These procedures apply to all SEC employees,<sup>1</sup> interns, contractors, Intergovernmental Personnel Act staff, detailees, fellows (collectively referred to as SEC personnel), applicants for employment, visitors to SEC facilities, and other individuals with whom SEC personnel come into contact in the course of their work. They apply in places where SEC personnel conduct official, SEC-related work (including when SEC personnel are in travel status), at SEC-sanctioned activities and events (including those held off-site), and, if the comments posted thereon negatively impact the workplace, on social media (e.g., Twitter, Tumblr, Facebook, LinkedIn, Instagram, FLICKR, etc.).

**5. Harassment Prohibited**

The SEC is committed to: (1) providing a work environment that is respectful, inclusive, and allows employees to deliver maximum performance in support of SEC's mission; and (2) prohibiting harassment on any of the following equal employment opportunity (EEO) bases: race, color, sex (including pregnancy, gender identity, sexual orientation, and transgender status), religion, national origin, age (40 or older), disability, genetic information, and/or retaliation for engaging in protected EEO activity (protected EEO categories).

**6. Retaliation Prohibited**

Retaliation for participating in a PPH-related reporting or inquiry is strictly prohibited. Retaliation is a violation of both federal law and SEC policy. Violators are subject to appropriate corrective action, including discipline.

**7. Confidentiality**

7.1 The SEC will protect, to the greatest extent possible and consistent with applicable law, the identity of those who report harassment and who participate in a PPH inquiry. Confidentiality ensures that the focus of PPH inquiries is on the alleged conduct—not the person who reported it. Withholding the identity of persons who allege, report, and/or provide information about EEO-based harassment also affords protection in furtherance of federal anti-retaliation laws and SEC policy and procedures. Confidentiality may not be possible in investigations as defined in Section 9.8.

7.2 The identity of the alleged harasser will be shared with that person's supervisor or other appropriate management officials for awareness, assistance in addressing and responding to the allegation, and assessment of whether corrective action is warranted based on all relevant information.

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<sup>1</sup> Under this SECOP, the term SEC employee includes political appointees.

**8. Cooperation**

All parties—the person who reports harassing conduct (and the subject of the alleged conduct, if different from the person who reported it), the alleged harasser, management officials to whom harassing conduct is reported, and any potential witnesses—must cooperate with these procedures.

**9. Definitions**

The terms and definitions listed below are for the purposes of these operating procedures.

- 9.1 **Alleged harasser.** Anyone (including supervisors and non-supervisors) who reportedly engages in unwelcome or offensive conduct based on protected EEO categories.
- 9.2 **Bystander.** Anyone who witnesses or hears about conduct that might be offensive based on a protected EEO category.
- 9.3 **Educational awareness.** Technical assistance aimed to educate persons by raising awareness of, and sensitivity to, words and actions that could create perceptions of offensive, unwelcome EEO-based conduct in the workplace. At management's request and in appropriate circumstances, the Office of Equal Employment Opportunity (OEEO) will provide this technical assistance to persons raising concerns, the alleged harasser, and other relevant persons in matters raised pursuant to the PPH and these procedures. Management and other stakeholders may also provide this technical assistance and should seek guidance from OEEO when opting to do so.
- 9.4 **EEO-Based Harassment.**
  - 9.4.1 Any conduct that a reasonable person would consider offensive or unwelcome based on a protected EEO category. Not all unwelcome conduct is harassing conduct under these procedures. For example, it would not be harassing conduct for a supervisor to tell an employee that the employee is not performing a job adequately when all employees who are similar in their work performance are treated the same.<sup>2</sup> Also, occasional and innocuous compliments generally do not constitute harassing conduct, but rather reflect the reality of human experience and common courtesy.
  - 9.4.2 Offensive or unwelcome conduct may include, but is not limited to:
    - 9.4.2.1 Unwelcome sexual overtures or requests for sexual favors;
    - 9.4.2.2 Caricatures of a particular race, national origin, or religion;
    - 9.4.2.3 Teasing or mimicking based on an individual's disability or accent;

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<sup>2</sup> This example is provided to improve understanding of these procedures and is not intended to determine the outcome of any particular matter. Each allegation is processed according to the specific circumstances presented.

- 9.4.2.4 Jokes about a person's sex (including pregnancy, gender identity, gender expression or sexual orientation);
  - 9.4.2.5 Obscene comments, slurs, jokes, epithets, suggestions or gestures;
  - 9.4.2.6 Lewd or sexually suggestive comments about a person's gender-specific characteristics;
  - 9.4.2.7 Nude or sexually suggestive objects, pictures, images or cartoons;
  - 9.4.2.8 Continuing to ask someone out on a date after the person has declined the invitation;
  - 9.4.2.9 Creation/circulation of emails that contain inappropriate EEO-based comments/jokes; or
  - 9.4.2.10 EEO-based comments (e.g., on social media) that negatively impact the workplace.
- 9.4.3 Legal analysis assesses allegations of harassment from both an objective (reasonableness) and a subjective (individual perception) perspective. Under these procedures, a PPH inquiry will be conducted if the alleged conduct is based on a protected EEO category and is unwanted or undesired, viewed objectively or subjectively.
- 9.5 **Subject Matter Experts in Harassment Prevention (SMEs).** Stakeholders in the Offices of Equal Employment Opportunity, General Counsel, Human Resources, and Inspector General who assess, respond, and/or assist supervisors and managers respond to allegations raised under the PPH and these procedures.
- 9.6 **Illegal Harassment.** EEO-based harassment becomes illegal (within the meaning of anti-discrimination laws) where: (1) enduring the offensive conduct becomes a condition of continued employment, or (2) the conduct is severe or pervasive enough to create a work environment that a reasonable person would consider intimidating, hostile, or abusive. For a more detailed legal analysis on what does, and does not, constitute unlawful harassment, see [EEOC's guidance related to harassment](#).
- 9.7 **Intake.** The process of receiving concerns raised under the PPH and these procedures and documenting information received.
- 9.8 **Investigation.** Fact-gathering and fact-finding conducted by non-OEEO SEC staff (who may use an agreement with a non-SEC entity) in accordance with constitutional, statutory, regulatory, and collective bargaining requirements. This investigation is separate and apart from any investigation conducted by OEEO staff pursuant to 29 C.F.R. Part 1614 as set forth in Section 11.2.3.
- 9.9 **PPH Inquiry.** The steps taken by SEC to understand and to respond to a concern raised under the PPH and these procedures. The nature of the inquiry and response varies according to the circumstances. In some instances, the inquiry is expeditious and may not require fact-finding or fact-gathering; in other instances, an investigation with fact-

gathering and fact-finding may be warranted. Any investigation will be conducted by non-OEEO SEC staff (who may use an agreement with a non-SEC entity), which is tailored to the facts and circumstances in line with the requirements set forth by the Supreme Court in the *Faragher/Ellerth* line of cases.

- 9.10 **Protected EEO categories.** Race, color, religion, national origin, sex (including pregnancy, gender identity, sexual orientation, and transgender status), age (40 or older), disability, genetic information and/or retaliation for engaging in protected EEO activity.
- 9.11 **Retaliation.** Any materially adverse action against an individual because of protected activity, including that the person participated in an EEO investigation, a PPH inquiry and/or otherwise opposed discrimination (including harassment). It includes any employer action that might deter a reasonable employee from complaining about discrimination. Retaliatory harassment may be unlawful even if it is not severe or pervasive enough to create a hostile work environment, as long as it might deter a reasonable person from asserting their EEO rights.
- 9.12 **Subject.** Anyone allegedly subject to EEO-based harassment.
- 9.13 **Workplace.** Where SEC personnel perform official, SEC-related duties, including while on official travel and/or participating in SEC-sanctioned activities and events.

**10. Obligation to Stop and Report Harassment**

- 10.1 Management has an obligation to implement an effective harassment prevention program. Managers/supervisors must report to the Office of Equal Employment Opportunity (OEEO) immediately but not later than two business days after witnessing or becoming aware of conduct that might violate the PPH, or hearing about a concern that could be covered by PPH and these procedures. Managers/supervisors may also take immediate steps to correct inappropriate conduct and should report these steps to OEEO.
- 10.2 Non-managers/non-supervisors (subjects and bystanders) are strongly encouraged to report to any supervisor, manager, or OEEO, any conduct that might violate the PPH, preferably within three business days.
- 10.3 Contract personnel who have been subjected to harassing conduct at a SEC workplace or by an SEC employee in connection with SEC work, or who know of such harassing conduct directed at others, are encouraged to report the conduct, as soon as possible, to the SEC as set forth below in Section 10.4. The contract personnel may also report the conduct to their employer, who must notify OEEO as set forth below in Section 10.4 and the SEC's Contracting Officer immediately but no later than 48 hours after becoming aware of the conduct.

10.4 Harassment allegations may be reported verbally or in writing.

10.4.1 Harassment allegations can be reported:

- in person (SPIII, Suite 2900);
- by telephone ((202) 551-6040/(800) 877-8339 for TTY users);
- by fax ((202) 772-9316);
- by mail (100 F St., NE, Washington, DC 20549 Attn: OEEO); and/or
- verbally or by email to anyone who works in OEEO or to any SEC supervisor or manager.

10.4.2 Anonymous allegations will be pursued to the extent possible; anonymous allegations may limit the information available to understand and/or address the issue raised. Harassment allegations may be reported anonymously to OEEO:

- by telephone ((202) 551-6040/(800) 877-8339 for TTY users);
- by fax ((202) 772-9316); and/or
- by mail (100 F St., NE, Washington, DC 20549 Attn: OEEO).

Harassment allegations may also be reported anonymously to the Office of Inspector General (OIG):

- by telephone 1-833-SEC-OIG1 (732-6441); or
- through the OIG's Online Hotline <https://sec.govcomhotline.com/>.

10.6 A supervisor's or manager's obligation to report shall apply even if the person who reports the allegations asks that the information be kept confidential and/or that there be no action taken. It must be explained that SEC takes seriously its responsibility to stop harassing conduct in the workplace, and that the supervisor or manager has a responsibility to report the conduct to keep individuals safe and free from harassing conduct. The supervisor or manager can assure the individual who requested anonymity that SEC handles these matters confidentially to the maximum extent possible.

## 11. Roles and Responsibilities

### 11.1 Supervisors/Managers

11.1.1 SEC management retains ultimate responsibility at all times to prevent and correct inappropriate workplace conduct.

11.1.2 Appropriate corrective action, up to and including removal, shall be taken against any supervisor/manager who fails to perform supervisory obligations as set forth in these procedures regarding allegedly harassing conduct that the official knew or should have known about.

11.1.3 Appropriate positive reinforcement, up to and including awards and positive feedback on performance appraisals, shall be provided to any supervisor/manager who handles harassing conduct in an exemplary manner.

11.1.4 SEC management must document all actions taken to address allegations raised under the PPH and these procedures, including appropriate remedial action as applicable.

**11.2 Office of Equal Employment Opportunity (OEEO)**

11.2.1 OEEO is a subject matter expert on the PPH and offers education to SEC personnel about requirements and risk factors under the PPH both proactively and in response to specific situations. A Merit Systems Protection Board [research brief](#) assessing harassment concluded that a decline in sexual harassment incidents in federal workplaces is related to raising awareness of behavior that could create hostile environments and making clear that such behaviors are not acceptable at work.

11.2.2 OEEO performs the duties outlined in Sections 12.1, 12.2. and 12.3 of these procedures without reaching a conclusion as to whether unlawful discrimination occurred.

11.2.3 OEEO also processes EEO complaints through the administrative complaint process set forth in 29 C.F.R. Part 1614 (Part 1614), which is separate and distinct from the processing of alleged harassment under the PPH. Both processes may proceed simultaneously.

11.2.3.1 At the conclusion of the Part 1614 administrative process, a decision as to whether illegal discrimination occurred will be made by OEEO, EEOC, or another adjudicator, whichever entity the complainant elects.

11.2.3.2 OEEO personnel who process complaints under Part 1614 do not perform the duties set forth in these procedures (except for referring concerns that come to their attention).

11.2.3.3 Subjects of alleged harassment who believe the conduct in question rises to the level of illegal harassment under federal law may pursue the allegation(s) through the EEO administrative complaint process (in addition to the PPH), but must do so within 45 calendar days of the most recent incident to preserve their rights.

11.2.4 OEEO has no authority to impose disciplinary action and does not recommend or impose specific corrective action pursuant to these procedures except with respect to OEEO employees.

**11.3 Office of Human Resources (OHR)**

11.3.1 OHR is a subject matter expert regarding questions of misconduct and the imposition of disciplinary action.

11.3.2 OHR, together with OGC, advises SEC management with regard to any questions/concerns about whether the alleged harassment also constitutes misconduct, warranting disciplinary action.

11.3.3 OHR may opt to conduct an investigation into allegations raised under the PPH as warranted under the circumstances.

**11.4 Office of General Counsel (OGC)**

11.4.1 OGC advises and counsels OHR and SEC management regarding their obligations under these procedures.

11.4.2 OGC also represents the SEC in civil and/or administrative litigation arising from matters pursued under federal EEO laws.

**11.5 Office of Inspector General (OIG)**

11.5.1 OIG is the exclusive office within the SEC that handles issues involving fraud, waste and abuse, and criminal misconduct.

11.5.2 OIG may be involved in PPH inquiries to the extent that the alleged harassment fits within the OIG's jurisdiction.

**11.6 Office of Information Technology (OIT)**

11.6.1 OIT handles questions involving inappropriate use of SEC technology.

11.6.2 OIT is involved in PPH inquiries to the extent the alleged harassment involves SEC technology.

**11.7 Office of Support Operations (OSO)**

11.7.1 OSO is the primary office within the SEC that handles workplace violence, physical security, and facilities.

11.7.2 OSO is involved in PPH inquiries to the extent there are questions/concerns regarding workplace violence or physical security.

**11.8 Office of Acquisition (OA):** OA will be involved in PPH inquiries to the extent that matters involve allegations of harassment by or against contractor personnel.

**12. Processing**

**12.1 Intake Responsibilities Upon Notification of Alleged Harassment**

12.1.1 SEC has designated Subject Matter Experts in Harassment Prevention (SMEs).

12.1.2 SMEs provide guidance, as appropriate, to assist SEC personnel to comply with these procedures.

12.1.3 OEEO, OGC, OHR, or OIG personnel who serve as SMEs will document the allegations raised during the intake process. This intake summary is not the PPH inquiry report described in Section 12.7, and may be included in the PPH inquiry report when requested by the preparer of the PPH inquiry report. Information, to the extent available, that must be documented by the Office that receives the allegations from an alleged subject, bystander, harasser, or supervisor who received the initial contact, includes but is not limited to:

12.1.3.1 the person making the report, the individuals who may be involved, e.g., name, position, employment status (i.e., staff or contract personnel), the office/work location of the person making the report, the subject(s) of the alleged conduct (if different from the person making the report), the alleged harasser(s), and any witness(es) or others who may have knowledge of the conduct;

12.1.3.2 the alleged conduct at issue, the date(s) the conduct occurred, and the alleged protected EEO category(s) at issue;

12.1.3.3 any initial steps taken in response to the alleged conduct; and

12.1.3.4 any other relevant information.

12.1.4 OEEO, OGC, OHR, or OIG personnel serving as SMEs will contact other relevant SMEs as soon as practicable after intake so that next steps can be assessed as set forth in Section 12.2.

## 12.2 Assessing Next Steps for Allegations Covered by PPH

12.2.1 As soon as practicable after intake, the SMEs will determine based on available information whether the allegations are covered by the PPH.

12.2.2 If the SMEs determine that the allegations are covered by the PPH, and personnel action is a reasonably possible outcome (including counseling), the SMEs, as appropriate, will determine how to conduct the PPH inquiry as described in Section 12.4. OEEO's involvement in conducting an inquiry is limited to sharing any relevant information from any education awareness activity it conducts and being informed that management is assessing the situation and taking steps, as appropriate and required.

12.2.2.1 The nature of the PPH inquiry will vary depending on the circumstances. These determinations are fact-specific and shall be made on a case-by-case basis.

12.2.2.2 If additional or new information becomes available that requires reassessing how to process the harassment allegation, the SMEs, as appropriate, will re-assess next steps as set forth in Section 12.2.

12.2.3 If the SMEs determine that the allegations are covered by the PPH, and personnel action is not reasonably possible (including counseling), an investigation as described in Section 12.4 may not be necessary. Intervention by management and/or

educational awareness by OEE0 or other stakeholders may be a sufficient response under the circumstances as set forth in Sections 12.3, 12.5.2 and 12.5.3. As set forth in 12.6.1, management determines when to close a matter.

12.2.4 If the SMEs do not reach consensus on whether or not the allegations are covered by the PPH and/or whether personnel action is reasonably possible, OHR with the assistance of relevant management personnel will make these determinations.

### 12.3 Educational Awareness

In matters received under these procedures, and as appropriate or requested, OEE0 will conduct educational awareness to ensure persons understand the requirements of PPH, their rights and responsibilities, how their conduct or words might have affected others, and expectations of workplace behavior.

12.3.1 OEE0 will create a written summary for its internal records of the educational awareness it conducts. This summary will be included in the PPH inquiry report by the preparer of the PPH inquiry report. The summary will set forth awareness efforts to relay rights and responsibilities under the PPH, how the alleged harasser's behavior was perceived and why that behavior may not be appropriate for the workplace, and anti-retaliation reminders.

12.3.2 Management and other stakeholders may also conduct and document educational awareness. If management opts to conduct educational awareness, it should consult with OEE0 regarding content, document its educational awareness efforts as set forth in 12.3.1, and provide a copy of its written summary to OEE0.

### 12.4 Conducting an Investigation

12.4.1 PPH inquiries must be prompt, thorough, and fair. PPH inquiries are tailored to the circumstances and may vary in length and complexity.

12.4.2 When personnel action is reasonably possible, management will determine whether the PPH inquiries will include an investigation and require interim relief as set forth in Section 12.5.4. Investigations will be conducted in accordance with applicable SEC policy and procedures, collective bargaining agreements, and governing laws and regulations related to misconduct, employee investigations, and due process in Federal Executive agencies.

12.4.3 To conduct an investigation, the assigned investigator, OHR or OGC representative, or management representative must:

12.4.3.1 initiate contact with the person who made the initial contact promptly after deciding how to handle the allegations as described in Section 12.2 if additional information is required;

12.4.3.2 initiate contact with the alleged harasser promptly after deciding how to handle the allegations as described in Section 12.2;

12.4.3.3 explain to the alleged harasser that the allegedly offensive conduct must stop immediately and explain, as warranted, that, if the conduct alleged is true, it could violate SEC policy or law;

12.4.3.4 explain to the person who made the complaint and alleged harasser what will happen throughout the course of the investigation, including an assurance that the investigation will be as timely as possible, depending on the complexity of the case and available resources, as well as an assurance that the report and investigation, as well as all related information, will be maintained on a confidential basis, as set forth in Section 7;

12.4.3.5 review the PPH thoroughly with all interviewees (each of whom will be given a copy of the PPH and/or directed to the text on-line) including a reminder of the anti-retaliation prohibitions and protections;

12.4.3.6 collect relevant evidence, and determine who else may have relevant information and interview them;

12.4.3.7 document if any person refuses to cooperate in the PPH inquiry and alert responsible management officials for appropriate action;

12.4.3.8 prepare a report at the conclusion of the investigation, documenting the alleged harassment and the scope of fact-gathering (including witnesses interviewed and documents reviewed) and findings made;

12.4.3.9 share the investigative report with appropriate management officials, the Director(s) of the office(s) implicated, OHR, and OGC so they may assess the need to pursue any personnel-related corrective action such as counseling, discipline, and/or removal; and

12.4.3.10 be sensitive to the needs of the alleged subject of the harassment, including any trauma the alleged subject may have experienced from the alleged harassment, including by requesting information from the alleged subject as little as practicable.

12.4.4 If a PPH inquiry exceeds 30 calendar days from the date the decision regarding how to handle the allegations as described in Section 12.2 was made, the person who made the complaint and alleged harasser, and any other parties involved, shall be provided with regular updates on the status of the investigation. Such updates shall include an explanation of any delay to the investigation (e.g., due to unavailability of witnesses), and such explanations shall be included in the investigation report described in Section 12.7.

12.4.5 To comply with EEOC guidance, OEEO's role is exclusively educational. OEEO personnel will neither conduct an investigation nor recommend or impose corrective action in order to ensure no conflict of interest exists with the Part 1614 case processing responsibilities of OEEO as described in Section 11.2.3.

12.5 **Proactive Preventive and/or Corrective Action**

12.5.1 Proportionate proactive preventive and/or corrective action shall be taken promptly by management in accordance with SEC policy and procedures, applicable collective bargaining agreements, and applicable law and regulations.

12.5.2 In some instances, management may address inappropriate conduct immediately and that immediate management intervention is all that management determines is warranted under the circumstances.

12.5.3 In some instances, the educational awareness conducted by OEEO or others will be the only action that management determines is warranted under the circumstances.

12.5.4 SEC management officials may unilaterally, or upon the recommendation of OHR and/or OGC, provide prompt and appropriate interim relief.

12.5.4.1 Interim relief may include:

12.5.4.1.1 Temporary reassignment or transfer, including to a different physical location;

12.5.4.1.1 Work Schedule adjustment, including expanded telework options;

12.5.4.1.1 Administrative leave; or

12.5.4.1.1 Other appropriate action, as deemed necessary under the circumstances.

12.5.4.2 Interim relief shall be applied in a manner so as not to unduly burden the subject or bystander. Except in very limited circumstances, the alleged harasser, rather than the subject or bystander shall be the person who is temporarily reassigned or transferred, placed in telework status, or placed on administrative leave.

12.5.5 Office-wide training offered by OEEO or another provider may be an appropriate responsive action in certain circumstances. For example, office-wide training is likely appropriate if more than one employee in the office has engaged in inappropriate conduct, if employees in the office do not know what conduct is appropriate and permissible, or if employees in the office appear unaware of how to properly respond to harassing conduct. OEEO also provides office-wide training as part of its proactive prevention program.

12.5.5 Proportionate preventive and/or corrective action may include disciplinary action, as called for by the facts of the case and applicable conduct rules. The penalty imposed for harassing conduct shall be selected the same as for any other violation of workplace rules, considering the severity and frequency of the conduct, the response required to end such conduct and prevent it from recurring, the offender's disciplinary/conduct history, and other relevant factors. The penalty may include

suspension, demotion, or removal. Discipline may be challenged through any available process including an EEO complaint, negotiated or administrative grievance procedures or a Merit Systems Protection Board appeal.

12.5.5.1 The severity and frequency of harassing conduct shall be considered when determining the level of preventive and/or corrective action. More egregious harassing conduct shall merit more severe action. For example, the use of an epithet, a threat or other intimidation, or a sexual or physical assault would very likely warrant more severe action than a first-time inappropriate comment or joke.

12.5.5.2 Proportionate preventive and/or corrective action may include counseling. An employee shall be counseled for harassing conduct consistent with these procedures and applicable conduct rules. After counseling has been imposed, the counseled employee's supervisors shall monitor the counseled employee's conduct to ensure that the conduct does not continue.

12.5.5.3 For the most serious harassing conduct, corrective action shall include disciplinary action applicable to violations of conduct standards, such as suspension, demotion, or termination. Such corrective action shall be in proportion to the seriousness of the harassing conduct.

## 12.6 Closing the Matter

12.6.1 Management determines when to close a matter. Management may consult with OHR or OGC is making this determination.

12.6.2 The individual who reported the matter will be informed when the matter has been reviewed and will be assured that appropriate action, as necessary, will have been taken by management to address the alleged harassment.

12.6.3 In accordance with the Privacy Act of 1974, 5 U.S.C. § 552a, as amended, OEEO and/or the assigned investigator will advise that SEC may not discuss any specific preventive or corrective action taken unless otherwise permitted or required by law.

## 12.7 PPH Inquiry Report

12.7.1 At the conclusion of a PPH inquiry, the responsible management officials with the support of OGC and OHR will prepare a PPH Inquiry Report that documents educational awareness steps taken, the investigation, and/or any management response, including personnel action taken, as appropriate.

12.7.2 Any intake summary prepared by OEEO or others and/or summary of educational awareness efforts conducted by OEEO or others will not serve as the PPH Inquiry Report. These materials may, however, be included in the PPH Inquiry Report.

12.7.3 A summary of management's response as documented in the PPH Inquiry Report will be provided to OEEO.

**13. Conflicts of Interest**

If harassing conduct is alleged against a high-ranking agency or OEEO official, allegations raised under the PPH and these procedures will be handled as described in EEOC Management Directive 110, Chapter 1, Section IV.B.

**14. Training**

All SEC employees must complete No FEAR Act anti-discrimination (including anti-harassment) training every two years. A course entitled Preventing EEO-Based Harassment is also available to all personnel in LEAP,<sup>3</sup> the SEC's e-learning management system. Additional harassment prevention training may be requested by contacting OEEO.

**15. PPH Reporting Is Not A Substitute for Other Legal Protections and Processes**

Reporting concerns under the PPH is in addition to, not instead of, protections that are available under federal EEO law and regulation. These procedures apply solely to PPH inquiries. They do not extend, modify or alter in any way procedures for other processes that might be available to subjects of EEO-based harassment.

Subjects of alleged EEO harassment may pursue their rights simultaneously through the EEO complaint process, any applicable collective bargaining agreement (CBA), and/or any applicable administrative grievance process.

Those who opt to enter the EEO complaint process must do so within 45 calendar days of the last incident of alleged harassment to preserve their rights. These procedures do not satisfy the requirements for filing an EEO complaint or for obtaining remedies pursuant to the laws and regulations governing the EEO complaint process. Using these procedures does not delay the EEO complaint process time limits. The EEO complaint process is designed to determine whether illegal employment discrimination occurred and, if so, to remedy the injury. EEO complaint investigations, unlike PPH inquiries, can also address non-harassment discrimination (e.g., disparate treatment claim based on membership in a protected class with respect to non-selections and performance appraisals).

Those who opt to use grievance procedures must file a grievance in accordance with the requirements and timeframes in the applicable CBA or other procedures.

**16. Additional Information**

Persons seeking further information regarding the PPH or the procedures set forth herein should contact OEEO in person (SPIII, Suite 2900), by telephone (202) 551-6040/(800) 877-8339 for TTY users, by mail (100 F St., NE, Washington, DC 20549 Attn: OEEO), or by fax (202) 772-9316. SEC personnel can also find additional information on the [Exchange](#).

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<sup>3</sup> LEAP stands for "learn. engage. achieve. perform."

# ATTACHMENT 7. POLICY MEMORANDUM: STANDARDS FOR EEO, WORKFORCE DIVERSITY, AND WORKPLACE INCLUSION

Relevant policies are attached for reference. The Joint Standards on Diversity Policies and Practices is available on the SEC website [SEC.gov/rules/policy/2015/34-75050.pdf](https://www.sec.gov/rules/policy/2015/34-75050.pdf).

# ATTACHMENT 8. WORKFORCE DATA TABLES<sup>41</sup>

The SECs workforce data tables are attached.

The SEC previously submitted the FY 2019 462 Report to the EEOC.

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<sup>41</sup> The SEC sought guidance on how to report data about employees and applicants who are considered persons with disability under Section 501 of the revised regulation. In this year's report, those employees and applicants who are considered persons with disability outside self-identification on SF-256 are included in a new column in Tables B1 through B9 developed for this report in the column titled "*Other PWD*". In FedSEP, SEC includes such persons in Tables B1 through B9 in the column labeled "*Disability (02-03, 06-99)*." As such, the data presented on PWD within the tables for this report may not match those submitted to the EEOC through the FedSEP data portal.

TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PAY PERIOD 201822 TO 201921

EMPLOYMENT TENURE	CLF (2010)	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
		All	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male
<b>TOTAL WORKFORCE</b>																		
Prior FY	#	4,448	2,405	132	114	1,774	1,147	207	484	275	270	0	2	12	5	5	5	21
	%	100%	51.86%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%	
Current FY	#	4,365	2,348	134	112	1,719	1,132	205	475	273	270	0	2	12	5	5	5	21
	%	100%	53.79%	3.07%	2.57%	39.38%	25.93%	4.70%	10.88%	6.25%	6.19%	0.00%	0.05%	0.27%	0.11%	0.11%	0.11%	0.48%
Difference	#	-83	-57	2	-2	-55	-15	-2	-9	-2	0	0	0	0	0	0	0	0
Ratio Change	%	0.00%	-0.28%	0.10%	0.01%	-0.50%	0.14%	0.05%	0.00%	0.07%	0.12%	0.00%	0.01%	0.00%	0.00%	0.00%	0.00%	0.01%
Net Change	%	-1.87%	-2.37%	1.52%	-1.75%	-3.10%	-1.31%	-0.97%	-1.86%	-0.73%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>EMPLOYEE GAINS</b>																		
TOTAL New Hires	#	85	42	5	1	29	26	5	6	3	9	0	0	0	0	0	0	1
	%	100%	49.41%	5.88%	1.18%	34.12%	30.59%	5.88%	7.06%	3.53%	10.59%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	1.18%
<b>EMPLOYEE LOSSES</b>																		
TOTAL Separations	#	172	98	74	3	83	43	7	16	5	11	0	0	0	0	0	0	1
	%	100%	56.98%	43.02%	1.74%	48.26%	25.00%	4.07%	9.30%	2.91%	6.40%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.58%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

**TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PAY PERIOD 201822 TO 201921 *continued***

EMPLOYMENT TENURE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>PERMANENT</b>																	
Prior FY	#	4,359	2,352	132	1,122	1,732	1,122	206	482	265	264	0	1	12	5	5	21
	%	100%	53.96%	3.03%	25.74%	39.73%	25.74%	4.73%	11.06%	6.08%	6.06%	0.00%	0.02%	0.28%	0.11%	0.11%	0.48%
Current FY	#	4,266	2,294	133	1,099	1,674	1,099	204	473	266	264	0	1	12	5	5	20
	%	100%	53.77%	3.12%	25.76%	39.24%	25.76%	4.78%	11.09%	6.24%	6.19%	0.00%	0.02%	0.28%	0.12%	0.12%	0.47%
Difference	#	-93	-58	1	-23	-58	-23	-2	-9	1	0	0	0	0	0	0	-1
Ratio Change	%	0.00%	-0.19%	0.09%	0.02%	-0.49%	0.02%	0.06%	0.03%	0.16%	0.13%	0.00%	0.00%	0.01%	0.00%	0.00%	-0.01%
Net Change	%	-2.13%	-2.47%	0.76%	-2.05%	-3.35%	-2.05%	-0.97%	-1.87%	0.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-4.76%
<b>EMPLOYEE GAINS</b>																	
Permanent New Hires	#	53	25	4	15	18	18	4	4	2	6	0	0	0	0	0	0
	%	100%	47.17%	7.55%	28.30%	33.96%	7.55%	7.55%	7.55%	3.77%	11.32%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>EMPLOYEE LOSSES</b>																	
TOTAL Separations	#	150	84	3	37	73	37	6	15	2	10	0	0	0	0	0	1
	%	100%	56.00%	2.00%	24.67%	48.67%	24.67%	4.00%	10.00%	1.33%	6.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.67%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

**TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PAY PERIOD 201822 TO 201921 *continued***

EMPLOYMENT TENURE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>TEMPORARY</b>																	
Prior FY	#	89	53	36	0	2	42	25	1	2	2	6	0	1	0	0	0
	%	100%	59.55%	40.45%	0.00%	2.25%	47.19%	28.09%	1.12%	2.25%	6.74%	0.00%	1.12%	0.00%	0.00%	0.00%	0.00%
Current FY	#	99	54	45	1	2	45	33	1	2	6	0	1	0	0	0	1
	%	100%	54.55%	45.45%	1.01%	2.02%	45.45%	33.33%	1.01%	2.02%	6.06%	0.00%	1.01%	0.00%	0.00%	0.00%	1.01%
Difference	#	10	1	9	1	0	3	8	0	0	0	0	0	0	0	0	1
Ratio Change	%	0.00%	-5.00%	5.01%	1.01%	-0.23%	-1.74%	5.24%	-0.11%	-0.23%	-0.68%	0.00%	-0.11%	0.00%	0.00%	0.00%	1.01%
Net Change	%	11.24%	1.89%	25.00%	0.00%	0.00%	7.14%	32.00%	0.00%	0.00%	-30.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>EMPLOYEE GAINS</b>																	
Temporary New Hires	#	32	17	15	1	1	14	8	1	2	1	3	0	0	0	0	1
	%	100%	53.13%	46.88%	3.13%	3.13%	43.75%	25.00%	3.13%	6.25%	3.13%	9.38%	0.00%	0.00%	0.00%	0.00%	3.13%
<b>EMPLOYEE LOSSES</b>																	
TOTAL Separations	#	22	14	8	0	0	10	6	1	1	1	3	0	0	0	0	0
	%	100%	63.64%	36.36%	0.00%	0.00%	45.45%	27.27%	4.55%	4.55%	4.55%	13.64%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A2: REGIONAL OFFICES AND HEADQUARTERS—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PERMANENT WORKFORCE—PAY PERIOD 201921

REGIONAL STAFF Permanent		TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
		All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male
		%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
CLF (2010)	#	4,266	1,972	133	110	1,674	1,099	204	473	266	264	0	1	12	5	20		
TOTAL WORKFORCE	%	100%	46.23%	3.12%	2.58%	39.24%	25.76%	4.78%	11.09%	6.24%	6.19%	0.00%	0.02%	0.28%	0.12%	0.47%		
HQ	#	2,720	1,300	67	59	1,012	690	150	372	180	160	0	1	9	3	15		
	%	100%	47.79%	2.46%	2.17%	37.21%	25.37%	5.51%	13.68%	6.62%	5.88%	0.00%	0.04%	0.33%	0.11%	0.55%		
NYRO	#	369	172	13	13	153	102	5	26	26	30	0	0	0	0	0	1	
	%	100%	46.61%	3.52%	3.52%	41.46%	27.64%	1.36%	7.05%	7.05%	8.13%	0.00%	0.00%	0.00%	0.00%	0.00%	0.27%	
CHRO	#	220	134	5	4	115	53	6	21	8	8	0	0	0	0	0	0	
	%	100%	39.09%	2.27%	1.82%	52.27%	24.09%	2.73%	9.55%	3.64%	3.64%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
LARO	#	158	80	9	7	44	38	3	13	23	20	0	0	0	0	1	0	
	%	100%	49.37%	5.70%	4.43%	27.85%	24.05%	1.90%	8.23%	14.56%	12.66%	0.00%	0.00%	0.00%	0.00%	0.63%	0.00%	
BRO	#	144	64	2	3	66	46	5	4	6	11	0	0	0	0	1	0	
	%	100%	44.44%	1.39%	2.08%	45.83%	31.94%	3.47%	2.78%	4.17%	7.64%	0.00%	0.00%	0.00%	0.00%	0.69%	0.00%	
PLRO	#	126	51	3	3	57	39	9	6	6	3	0	0	0	0	0	0	
	%	100%	40.48%	2.38%	2.38%	45.24%	30.95%	7.14%	4.76%	4.76%	2.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
FWRO	#	105	44	3	2	48	36	7	3	3	1	0	0	0	0	0	2	
	%	100%	41.90%	2.86%	1.90%	45.71%	34.29%	6.67%	2.86%	2.86%	0.95%	0.00%	0.00%	0.00%	0.00%	0.00%	1.90%	
SFRO	#	116	58	4	2	38	27	2	6	12	20	0	0	1	1	1	2	
	%	100%	50.00%	3.45%	1.72%	32.76%	23.28%	1.72%	5.17%	10.34%	17.24%	0.00%	0.00%	0.86%	0.86%	0.86%	1.72%	

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A2: REGIONAL OFFICES AND HEADQUARTERS—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
 PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

REGIONAL STAFF	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Permanent																	
ARO	100	64.00%	64	36	1	46	18	13	15	1	1	0	0	0	1	0	0
	100%	64.00%	60	36	12	46.00%	18.00%	13.00%	15.00%	1.00%	1.00%	0.00%	0.00%	0.00%	1.00%	0.00%	0.00%
MIRO	96	62.50%	60	36	23	33	11	3	7	1	6	0	0	0	0	0	0
	100%	62.50%	57	39	0	34.38%	11.46%	3.13%	7.29%	1.04%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
DRO	96	59.38%	57	39	0	55	33	0	0	0	3	0	0	2	0	0	0
	100%	59.38%	40.63%	40.63%	3.13%	57.29%	34.38%	0.00%	0.00%	0.00%	3.13%	0.00%	0.00%	2.08%	0.00%	0.00%	0.00%
SLRO	16	8	8	8	1	7	6	1	0	0	1	0	0	0	0	0	0
	100%	50.00%	50.00%	50.00%	6.25%	43.75%	37.50%	6.25%	0.00%	0.00%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A3: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PERMANENT WORKFORCE—PAY PERIOD 201921

OCCUPATIONAL CATEGORIES	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
PERMANENT WORKFORCE	#	4,266	2,294	1,972	1,099	204	473	266	264	0	1	12	5	5	20		
	%	100%	53.77%	46.23%	3.12%	2.58%	39.24%	25.76%	4.78%	11.09%	6.24%	6.19%	0.02%	0.28%	0.12%	0.12%	0.47%
<b>1. Management</b>																	
Executives	#	121	71	50	2	0	63	41	4	2	3	0	0	0	0	0	1
	%	100%	58.68%	41.32%	1.65%	0.00%	52.07%	33.88%	3.31%	3.31%	1.65%	2.48%	0.00%	0.83%	0.00%	0.00%	0.83%
Managers	#	389	241	148	16	2	196	109	9	18	18	0	0	1	0	0	1
	%	100%	61.95%	38.05%	4.11%	0.51%	50.39%	28.02%	2.31%	4.63%	4.63%	0.00%	0.00%	0.26%	0.00%	0.00%	0.26%
Supervisors	#	352	221	131	16	8	157	76	15	32	19	0	0	1	0	0	0
	%	100%	62.78%	37.22%	4.55%	2.27%	44.60%	21.59%	4.26%	7.95%	5.40%	0.00%	0.00%	0.28%	0.00%	0.00%	0.00%
TOTAL MANAGEMENT	#	862	533	329	34	10	416	226	28	53	40	0	1	2	0	0	2
	%	100%	61.83%	38.17%	3.94%	1.16%	48.26%	26.22%	3.25%	5.80%	4.64%	0.00%	0.12%	0.23%	0.00%	0.00%	0.23%
2. Professional Workers	#	3,233	1,722	1,511	97	88	1,242	829	159	210	218	0	0	9	4	5	17
	%	100%	53.26%	46.74%	3.00%	2.72%	38.42%	25.64%	4.92%	10.98%	6.50%	0.00%	0.00%	0.28%	0.12%	0.15%	0.53%
3. Technical Workers and Technologists	#	3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

**TABLE A3: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued**

OCCUPATIONAL CATEGORIES	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
4. Sales Workers	#		2	1	1	1	0	0	0	0	0	0	0	0	0	0	0
	%		100%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
5. Administrative Support Workers	#		157	30	127	1	11	10	41	16	67	2	6	0	1	0	1
	%		100%	19.11%	80.89%	0.64%	7.01%	6.37%	26.11%	10.19%	42.68%	1.27%	3.82%	0.00%	0.64%	0.00%	0.64%
6. Skilled Craft and Repair Workers	#		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%		100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
7. Operative and Transportation Operative Workers	#		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%		100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
8. Laborers	#		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%		100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
9. Service Workers	#		9	5	4	1	0	2	3	1	1	1	0	0	0	0	0
	%		100%	55.56%	44.44%	11.11%	0.00%	22.22%	33.33%	11.11%	11.11%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A4P: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921

SK, SO, AND RELATED GRADES	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races			
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female		
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
Permanent Workforce	#	4,266	1,972	110	1,099	204	473	264	264	1	12	5	20	5	5	5	20		
	%	100%	46.23%	2.58%	25.76%	4.78%	11.09%	6.24%	6.19%	0.02%	0.28%	0.12%	0.47%	0.12%	0.12%	0.12%	0.47%		
SK-02	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-03	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	#	2	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	#	2	1	0	0	1	1	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	#	6	2	0	1	1	3	0	3	0	0	0	0	0	0	0	0	0	0
	%	100%	33.33%	66.67%	0.00%	16.67%	16.67%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	#	51	9	3	11	3	26	1	2	0	0	0	0	0	0	0	0	0	0
	%	100%	17.65%	82.35%	1.96%	7.84%	5.88%	50.98%	1.96%	3.92%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	#	20	0	1	2	0	15	0	1	0	0	0	1	0	0	0	0	0	1
	%	100%	0.00%	5.00%	10.00%	0.00%	75.00%	0.00%	5.00%	0.00%	0.00%	0.00%	5.00%	0.00%	0.00%	0.00%	0.00%	0.00%	5.00%
SK-09	#	26	5	2	3	3	13	0	1	0	0	0	1	0	0	0	0	0	2
	%	100%	19.23%	80.77%	7.69%	11.54%	11.54%	50.00%	3.85%	0.00%	0.00%	0.00%	3.85%	0.00%	0.00%	0.00%	0.00%	0.00%	7.69%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	84	18	12	11	7	39	0	3	0	0	0	0	0	0	0	0	0	1
	%	100%	21.43%	78.57%	14.29%	13.10%	8.33%	46.43%	3.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	1.19%
SK-12	#	190	44	8	37	25	89	3	9	0	1	1	0	1	1	0	0	0	2
	%	100%	23.16%	76.84%	4.21%	19.47%	13.16%	46.84%	1.58%	4.74%	0.00%	0.53%	0.00%	0.53%	0.53%	0.00%	0.00%	0.00%	1.05%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A4P: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	350	159	191	15	8	79	69	33	89	26	24	0	0	3	0	3
%	100%	45.43%	54.57%	4.29%	2.29%	22.57%	19.71%	9.43%	25.43%	7.43%	6.86%	0.00%	0.00%	0.86%	0.00%	0.86%	0.29%
#	2,145	1,192	953	70	62	881	586	88	135	147	160	0	0	4	2	2	8
%	100%	55.57%	44.43%	3.26%	2.89%	41.07%	27.32%	4.10%	6.29%	6.85%	7.46%	0.00%	0.00%	0.19%	0.09%	0.09%	0.37%
#	359	233	126	17	7	168	78	15	24	32	17	0	0	1	0	0	0
%	100%	64.90%	35.10%	4.74%	1.95%	46.80%	21.73%	4.18%	6.69%	8.91%	4.74%	0.00%	0.00%	0.28%	0.00%	0.00%	0.00%
#	515	314	201	9	5	253	149	15	16	35	26	0	0	2	2	0	3
%	100%	60.97%	39.03%	1.75%	0.97%	49.13%	28.93%	2.91%	3.11%	6.80%	5.05%	0.00%	0.00%	0.39%	0.39%	0.00%	0.58%
#	391	243	148	16	2	198	109	9	18	19	18	0	0	1	0	0	1
%	100%	62.15%	37.85%	4.09%	0.51%	50.64%	27.88%	2.30%	4.60%	4.86%	4.60%	0.00%	0.00%	0.26%	0.00%	0.00%	0.26%
#	4	2	2	0	0	1	2	0	0	1	0	0	0	0	0	0	0
%	100%	50.00%	50.00%	0.00%	0.00%	25.00%	50.00%	0.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	121	71	50	2	0	63	41	4	4	2	3	0	1	0	0	0	1
%	100%	58.68%	41.32%	1.65%	0.00%	52.07%	33.88%	3.31%	3.31%	1.65%	2.48%	0.00%	0.83%	0.00%	0.00%	0.00%	0.83%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A4T: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921

SK, SO, AND RELATED GRADES	Temporary	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races						
		All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female					
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%				
Temporary		99	100%	54	54.55%	45	45.45%	45	45.45%	33	33.33%	1	1.01%	2	2.02%	7	7.07%	6	6.06%	0	0.00%	1	1.01%
SK-02		0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-03		0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-04		0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-05		0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-06		0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-07		0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-08		0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-09		0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-10		1	100%	0	0%	1	100%	0	0%	1	100%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
SK-11		2	100%	1	50.00%	1	50.00%	1	50.00%	0	0%	0	0%	0	0%	1	50.00%	0	0%	0	0%	0	0%
SK-12		7	100%	3	42.86%	4	57.14%	1	14.29%	1	14.29%	0	0%	1	14.29%	2	28.57%	0	0%	0	0%	0	0%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A4T: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races			
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female		
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
Temporary	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-13	100%	0.00%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	23	12	11	1	0	8	9	0	0	3	2	0	0	0	0	0	0	0	0
	100%	52.17%	47.83%	4.35%	0.00%	34.78%	39.13%	0.00%	0.00%	13.04%	8.70%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	34	21	13	0	0	19	9	1	1	1	3	0	1	0	0	0	0	0	0
	100%	61.76%	38.24%	0.00%	0.00%	55.88%	26.47%	2.94%	2.94%	2.94%	8.82%	0.00%	2.94%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	30	17	13	0	0	16	12	0	1	1	0	0	0	0	0	0	0	0	0
	100%	56.67%	43.33%	0.00%	0.00%	53.33%	40.00%	0.00%	0.00%	3.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921

SALARY RANGE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Permanent Workforce</b>	#	4,266	2,294	1,972	110	1,674	1,099	204	473	264	264	0	1	12	5	5	20
	%	100%	53.77%	46.23%	3.12%	39.24%	25.76%	4.78%	11.09%	6.24%	6.19%	0.00%	0.02%	0.28%	0.12%	0.12%	0.47%
\$20,001 – \$30,000	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$30,001 – \$40,000	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$40,001 – \$50,000	#	1	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$50,001 – \$60,000	#	4	2	2	0	1	1	0	1	1	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	25.00%	25.00%	0.00%	25.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$60,001 – \$70,000	#	11	5	6	0	4	0	1	4	0	1	0	0	0	0	0	0
	%	100%	45.45%	54.55%	0.00%	36.36%	0.00%	9.09%	36.36%	0.00%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$70,001 – \$80,000	#	30	6	24	1	3	1	4	12	0	1	0	0	0	0	0	1
	%	100%	20.00%	80.00%	3.33%	3.33%	23.33%	13.33%	40.00%	0.00%	3.33%	0.00%	0.00%	0.00%	0.00%	0.00%	3.33%
\$80,001 – \$90,000	#	57	7	50	0	4	9	3	35	0	2	0	0	0	0	0	1
	%	100%	12.28%	87.72%	0.00%	7.02%	15.79%	5.26%	61.40%	0.00%	3.51%	0.00%	0.00%	0.00%	0.00%	0.00%	1.75%
\$90,001 – \$100,000	#	44	13	31	2	5	2	6	24	0	2	0	0	0	0	0	1
	%	100%	29.55%	70.45%	4.55%	11.36%	4.55%	13.64%	54.55%	0.00%	4.55%	0.00%	0.00%	0.00%	0.00%	0.00%	2.27%
\$100,001 – \$110,000	#	43	8	35	0	4	7	3	21	1	2	0	0	0	0	0	2
	%	100%	18.60%	81.40%	0.00%	9.30%	16.28%	6.98%	48.84%	2.33%	4.65%	0.00%	0.00%	0.00%	0.00%	0.00%	4.65%
\$110,001 – \$120,000	#	72	26	46	4	12	13	5	25	2	4	0	0	2	0	1	0
	%	100%	36.11%	63.89%	5.56%	16.67%	18.06%	6.94%	34.72%	2.78%	5.56%	0.00%	0.00%	2.78%	0.00%	1.39%	0.00%
\$120,001 – \$130,000	#	138	48	90	4	17	32	19	44	7	5	0	0	1	0	0	1
	%	100%	34.78%	65.22%	2.90%	12.32%	23.19%	13.77%	31.88%	5.07%	3.62%	0.00%	0.00%	0.72%	0.00%	0.00%	0.72%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SALARY RANGE	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
\$130,001 – \$140,000	128	63	65	6	8	19	14.84%	8	29	7	8	0	0	0	0	0	1
	100%	49.22%	50.78%	4.69%	6.25%	32.81%	14.84%	6.25%	22.66%	5.47%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.78%
\$140,001 – \$150,000	164	80	84	6	5	39	23.78%	10	19	11	19	0	0	0	1	1	1
	100%	48.78%	51.22%	3.66%	3.05%	31.71%	23.78%	6.10%	11.59%	6.71%	11.59%	0.00%	0.00%	0.00%	0.61%	0.61%	0.61%
\$150,001 – \$160,000	196	86	110	5	5	43	21.94%	12	49	11	12	0	0	0	1	1	0
	100%	43.88%	56.12%	2.55%	2.55%	29.08%	21.94%	6.12%	25.00%	5.61%	6.12%	0.00%	0.00%	0.00%	0.51%	0.51%	0.00%
\$160,001 – \$170,000	179	90	89	6	4	60	26.82%	13	22	11	14	0	0	0	0	0	1
	100%	50.28%	49.72%	3.35%	2.23%	33.52%	26.82%	7.26%	12.29%	6.15%	7.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.56%
\$170,001 – \$180,000	186	104	82	3	6	78	21.51%	8	20	14	15	0	0	1	0	0	1
	100%	55.91%	44.09%	1.61%	3.23%	41.94%	21.51%	4.30%	10.75%	7.53%	8.06%	0.00%	0.00%	0.54%	0.00%	0.00%	0.54%
\$180,001 and Greater	3,013	1,756	1,257	96	58	839	27.85%	112	167	201	179	0	1	8	3	2	10
	100%	58.28%	41.72%	3.19%	1.92%	44.37%	27.85%	3.72%	5.54%	6.67%	5.94%	0.00%	0.03%	0.27%	0.10%	0.07%	0.33%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A5P: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued

SALARY RANGE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
\$180,001 – \$190,000	265	148	117	7	108	62	27	11	20	18	20	0	0	2	0	1
	100%	55.85%	44.15%	3.02%	40.75%	23.40%	10.19%	4.15%	7.55%	6.79%	0.00%	0.00%	0.75%	0.00%	0.38%	0.38%
\$190,001 – \$200,000	228	144	84	6	98	47	19	16	12	21	0	0	0	0	0	0
	100%	63.16%	36.84%	2.63%	42.98%	20.61%	8.33%	7.02%	5.26%	9.21%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$200,001 – \$210,000	343	207	136	10	145	95	16	18	15	27	0	0	1	0	0	0
	100%	60.35%	39.65%	2.92%	42.27%	27.70%	4.66%	5.25%	4.37%	7.87%	0.00%	0.00%	0.29%	0.00%	0.00%	0.00%
\$210,001 – \$220,000	953	499	454	25	378	297	35	55	72	55	0	0	1	1	1	4
	100%	52.36%	47.64%	3.04%	39.66%	31.16%	3.67%	5.77%	7.56%	5.77%	0.00%	0.00%	0.10%	0.10%	0.10%	0.42%
\$220,001 – \$230,000	275	184	91	2	142	57	11	16	12	20	0	0	2	2	0	2
	100%	66.91%	33.09%	0.73%	51.64%	20.73%	4.00%	5.82%	4.36%	7.27%	0.00%	0.00%	0.73%	0.73%	0.00%	0.73%
\$230,001 – \$240,000	211	127	84	3	93	58	5	7	15	22	0	0	0	0	0	1
	100%	60.19%	39.81%	1.42%	44.08%	27.49%	2.37%	3.32%	7.11%	10.43%	0.00%	0.00%	0.00%	0.00%	0.00%	0.47%
\$240,001 – \$250,000	627	380	247	5	314	188	12	23	30	36	0	0	2	0	0	1
	100%	60.61%	39.39%	0.80%	50.08%	29.98%	1.91%	3.67%	4.78%	5.74%	0.00%	0.00%	0.32%	0.00%	0.00%	0.16%
\$250,001 – \$260,000	110	66	44	0	58	35	4	4	3	2	0	1	0	0	0	1
	100%	60.00%	40.00%	0.00%	52.73%	31.82%	3.64%	3.64%	1.82%	1.82%	0.00%	0.91%	0.00%	0.00%	0.00%	0.91%
\$260,001 – \$270,000	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0
	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$270,001 – \$280,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$280,001 – \$290,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$300,000 or More	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A5T: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921

SALARY RANGE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races					
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female				
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%				
Temporary Workforce	99	100%	54	54.55%	1	1.01%	45	45.45%	1	1.01%	2	2.02%	7	7.07%	6	6.06%	0	0.00%	1	1.01%
\$20,001 – \$30,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$30,001 – \$40,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$40,001 – \$50,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$50,001 – \$60,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$60,001 – \$70,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$70,001 – \$80,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$80,001 – \$90,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
\$90,001 – \$100,000	2	100%	2	100%	0	0%	1	50.00%	0	0%	0	0%	1	50.00%	0	0%	0	0%	0	0%
\$100,001 – \$110,000	3	100%	0	0%	0	0%	0	0%	0	0%	1	33.33%	0	0%	1	33.33%	0	0%	0	0%
\$110,001 – \$120,000	4	100%	2	50.00%	0	0%	1	25.00%	0	0%	1	25.00%	0	0%	0	0%	0	0%	0	0%
\$120,001 – \$130,000	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A5T: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SALARY RANGE	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
\$130,001 – \$140,000	2	1	0	0	1	1	0	0	0	0	0	0	0	0	0	0
	100%	50.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$140,001 – \$150,000	2	0	0	0	0	2	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$150,001 – \$160,000	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0
	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$160,001 – \$170,000	9	5	1	1	4	2	0	0	0	0	1	0	0	0	0	0
	100%	55.56%	11.11%	11.11%	44.44%	22.22%	0.00%	0.00%	0.00%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$170,001 – \$180,000	5	3	0	0	2	2	0	0	0	1	0	0	0	0	0	0
	100%	60.00%	0.00%	0.00%	40.00%	40.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$180,001 and Greater	71	40	0	0	35	25	1	1	4	4	0	1	0	0	0	0
	100%	56.34%	0.00%	0.00%	49.30%	35.21%	1.41%	1.41%	5.63%	5.63%	0.00%	1.41%	0.00%	0.00%	0.00%	0.00%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A5T: PARTICIPATION RATES WITHIN SALARY RANGES BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SALARY RANGE	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
\$180,001 – \$190,000	7	2	5	0	0	2	5	0	0	0	0	0	0	0	0	0	0
	100%	28.57%	71.43%	0.00%	0.00%	28.57%	71.43%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$190,001 – \$200,000	4	2	2	0	0	2	2	0	0	0	0	0	0	0	0	0	0
	100%	50.00%	50.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$200,001 – \$210,000	11	8	3	0	0	7	2	0	0	1	1	0	0	0	0	0	0
	100%	72.73%	27.27%	0.00%	0.00%	63.64%	18.18%	0.00%	0.00%	9.09%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$210,001 – \$220,000	13	4	9	0	0	3	6	0	0	1	2	0	1	0	0	0	0
	100%	30.77%	69.23%	0.00%	0.00%	23.08%	46.15%	0.00%	0.00%	7.69%	15.38%	0.00%	7.69%	0.00%	0.00%	0.00%	0.00%
\$220,001 – \$230,000	8	7	1	0	0	6	1	0	0	1	0	0	0	0	0	0	0
	100%	87.50%	12.50%	0.00%	0.00%	75.00%	12.50%	0.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$230,001 – \$240,000	4	3	1	0	0	2	0	1	0	0	1	0	0	0	0	0	0
	100%	75.00%	25.00%	0.00%	0.00%	50.00%	0.00%	25.00%	0.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$240,001 – \$250,000	5	4	1	0	0	4	1	0	0	0	0	0	0	0	0	0	0
	100%	80.00%	20.00%	0.00%	0.00%	80.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$250,001 – \$260,000	19	10	9	0	0	9	8	0	0	1	0	0	0	0	0	0	0
	100%	52.63%	47.37%	0.00%	0.00%	47.37%	42.11%	0.00%	5.26%	5.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$260,001 – \$270,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$270,001 – \$280,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$280,001 – \$290,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
\$300,000 or More	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

**TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921**

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>0905 General Attorney</b>																
Occupational CLF	100%	66.70%	33.30%	2.52%	1.85%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.18%
#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	2	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0
%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	3	3	0	0	0	2	0	1	0	0	0	0	0	0	0	0
%	100%	100%	0.00%	0.00%	0.00%	66.67%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	26	13	13	1	0	10	8	1	0	1	4	0	0	0	0	1
%	100%	50.00%	50.00%	3.85%	0.00%	38.46%	30.77%	3.85%	0.00%	3.85%	15.38%	0.00%	0.00%	0.00%	0.00%	3.85%
SK-14	1,014	542	472	27	29	423	323	35	47	55	70	0	0	2	1	2
%	100%	53.45%	46.55%	2.66%	2.86%	41.72%	31.85%	3.45%	4.64%	5.42%	6.90%	0.00%	0.00%	0.20%	0.10%	0.20%
SK-15	80	44	36	2	1	40	28	1	3	1	4	0	0	0	0	0
%	100%	55.00%	45.00%	2.50%	1.25%	50.00%	35.00%	1.25%	3.75%	1.25%	5.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	355	198	157	4	3	169	119	9	13	16	18	0	0	0	2	2
%	100%	55.77%	44.23%	1.13%	0.85%	47.61%	33.52%	2.54%	3.66%	4.51%	5.07%	0.00%	0.00%	0.00%	0.56%	0.56%
SK-17	239	141	98	9	1	122	74	2	10	8	13	0	0	0	0	0
%	100%	59.00%	41.00%	3.77%	0.42%	51.05%	30.96%	0.84%	4.18%	3.35%	5.44%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	78	45	33	1	0	40	30	3	1	1	2	0	0	0	0	0
%	100%	57.69%	42.31%	1.28%	0.00%	51.28%	38.46%	3.85%	1.28%	1.28%	2.56%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	1,797	988	809	44	34	808	582	52	74	82	111	0	0	2	3	5
%	100%	54.98%	45.02%	2.45%	1.89%	44.96%	32.39%	2.89%	4.12%	4.56%	6.18%	0.00%	0.00%	0.11%	0.17%	0.28%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
Relevant Pool <sup>2</sup>	100%	54.19%	45.81%	2.30%	2.23%	43.65%	32.30%	3.18%	4.26%	4.93%	6.49%	0.00%	0.14%	0.20%	0.00%	0.34%
TOTAL Received	#	245														
TOTAL Applications Received	#	169	76	3	5	139	54	9	6	18	10	0	0	1	0	0
	%	68.98%	31.02%	1.22%	2.04%	56.73%	22.04%	3.67%	2.45%	7.35%	4.08%	0.00%	0.00%	0.41%	0.00%	0.00%
Qualified	#	221	68	3	5	127	50	7	4	16	8	0	0	1	0	0
	%	100%	30.77%	1.36%	2.26%	57.47%	22.62%	3.17%	1.81%	7.24%	3.62%	0.00%	0.00%	0.45%	0.00%	0.00%
Referred	#	62	24	0	2	30	18	2	0	6	4	0	0	0	0	0
	%	100%	38.71%	0.00%	3.23%	48.39%	29.03%	3.23%	0.00%	9.68%	6.45%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	36	24	0	0	19	9	0	0	5	3	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	52.78%	25.00%	0.00%	0.00%	13.89%	8.33%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	#	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
			All														
<b>New Hires</b>																	
<b>General Attorney (0905): In FY 2019 Applicant Flow Data, 28 attorney external applications were marked selected.<sup>3</sup></b>																	
TOTAL Received	#	1,875															
Voluntarily Identified	#	1,103	706	397	116	43	421	158	86	139	70	55	0	0	6	0	2
	%	100%	64.01%	35.99%	10.52%	3.90%	38.17%	14.32%	7.80%	12.60%	6.35%	4.99%	0.00%	0.00%	0.54%	0.00%	0.18%
Qualified of Those Identified	#	922	603	319	102	34	370	141	70	103	55	40	0	0	1	0	1
	%	100%	65.40%	34.60%	11.06%	3.69%	40.13%	15.29%	7.59%	11.17%	5.97%	4.34%	0.00%	0.00%	0.11%	0.00%	0.11%
Referred of Those Qualified	#	154	99	55	9	0	74	34	7	11	9	10	0	0	0	0	0
	%	100%	64.29%	35.71%	5.84%	0.00%	48.05%	22.08%	4.55%	7.14%	5.84%	6.49%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	15	7	8	2	0	4	6	0	2	1	0	0	0	0	0	0
	%	100%	46.67%	53.33%	13.33%	0.00%	26.67%	40.00%	0.00%	13.33%	6.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Onboarded <sup>4</sup>	#	28	13	15	2	0	10	11	1	1	0	3	0	0	0	0	0
	%	100%	46.43%	53.57%	7.14%	0.00%	35.71%	39.29%	3.57%	3.57%	0.00%	10.71%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races				
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female			
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%			
<b>0510 Accountant</b>																			
<b>Occupational CLF</b>	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%			
SK-09	0	39.91%	0	60.09%	0	2.19%	0	31.79%	0	44.23%	0	0.02%	0	0.19%	0	0.43%	0	0.29%	
	100%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
SK-10	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
	100%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
SK-11	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
	100%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
SK-12	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
	100%	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
SK-13	5	20.00%	4	80.00%	0	0.00%	0	0.00%	2	40.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
	100%	0.00%	21	34.7%	21	34.7%	240	39.60%	175	28.88%	24	3.96%	24	3.96%	38	6.27%	56	9.24%	
SK-14	606	51.65%	293	48.35%	4	0.33%	4	0.33%	0	0.00%	4	0.33%	4	0.33%	4	0.33%	20	3.33%	
	100%	76.36%	23.64%	3.64%	3.64%	3.64%	59.09%	18.18%	18.18%	10.00%	1.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-15	110	84	26	23.64%	4	3.64%	65	59.09%	20	18.18%	4	3.64%	4	3.64%	4	3.64%	11	10.00%	
	100%	39	21	16.36%	1	0.82%	32	28.18%	17	15.45%	3	2.73%	3	2.73%	2	1.82%	3	2.73%	
SK-16	60	65.00%	35.00%	35.00%	1	1.67%	53.33%	28.33%	15	25.42%	1	1.67%	1	1.67%	1	1.67%	3	5.08%	
	100%	41	18	30.51%	2	3.39%	33	55.93%	15	25.42%	1	1.67%	1	1.67%	1	1.67%	4	6.78%	
SK-17	59	69.49%	30.51%	3.39%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
	100%	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
All Other (Non-SK, Non-SO)	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
	100%	4	2	33.33%	0	0.00%	4	66.67%	1	16.67%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	
Senior Officer	6	66.67%	33.33%	3.31%	28	3.31%	28	3.31%	22	2.60%	32	3.78%	32	3.78%	44	5.20%	64	7.57%	
	100%	482	364	43.03%	28	3.31%	374	44.21%	230	27.19%	32	3.78%	32	3.78%	44	5.20%	64	7.57%	
TOTAL Population	846	56.97%	43.03%	3.31%	28	3.31%	374	44.21%	230	27.19%	32	3.78%	32	3.78%	44	5.20%	64	7.57%	
	100%	2	0.24%	1	0.12%	2	0.24%	2	0.24%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
	100%	3	0.35%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Accounting (0510)</b>																
Relevant Pool <sup>2</sup>	%	100%	55.95%	44.05%	3.33%	2.82%	43.15%	27.40%	3.97%	5.51%	5.38%	7.81%	0.00%	0.13%	0.00%	0.38%
TOTAL Received	#	18														
TOTAL Applications Received	#	18	10	8	0	0	9	5	0	3	1	0	0	0	0	0
	%	100%	55.56%	44.44%	0.00%	0.00%	50.00%	27.78%	0.00%	16.67%	5.56%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	15	8	7	0	0	7	5	0	2	1	0	0	0	0	0
	%	100%	53.33%	46.67%	0.00%	0.00%	46.67%	33.33%	0.00%	13.33%	6.67%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	3	2	1	0	0	2	1	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	0.00%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	3	2	1	0	0	2	1	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	0.00%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
TOTAL Received	194															
Voluntarily Identified	119	66	53	10	19	13	25	12	13	0	0	0	0	0	0	2
	100%	55.46%	44.54%	8.40%	4.20%	15.97%	10.92%	21.01%	16.81%	10.08%	10.92%	0.00%	0.00%	0.00%	0.00%	1.68%
Qualified of Those Identified	56	32	24	3	1	11	5	13	10	5	6	0	0	0	0	2
	100%	57.14%	42.86%	5.36%	1.79%	19.64%	8.93%	23.21%	17.86%	8.93%	10.71%	0.00%	0.00%	0.00%	0.00%	3.57%
Referred of Those Qualified	32	21	11	1	0	7	3	9	6	4	2	0	0	0	0	0
	100%	65.63%	34.38%	3.13%	0.00%	21.88%	9.38%	28.13%	18.75%	12.50%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	2	1	1	0	0	1	1	0	0	0	0	0	0	0	0	0
	100%	50.00%	50.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Onboarded <sup>4</sup>	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0
	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Accounting (0510): In FY 2019 Applicant Flow Data, nine accountant external applications were marked selected.<sup>3</sup>

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

**TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued**

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>1831 Securities Compliance Examining</b>																
<b>Occupational CLF</b>	100%	54.75%	45.25%	3.65%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.24%	0.27%
#	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1
%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100%
<b>SK-09</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>SK-10</b>	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	2	1	1	1	1	0	0	0	0	0	0	0	0	0	0	0
%	100%	50.00%	50.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>SK-11</b>	2	0	2	0	0	0	0	2	0	0	0	0	0	0	0	0
%	100%	0.00%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>SK-12</b>	30	11	19	2	1	5	7	1	3	2	8	0	0	0	1	0
%	100%	36.67%	63.33%	6.67%	3.33%	16.67%	23.33%	3.33%	10.00%	6.67%	26.67%	0.00%	0.00%	0.00%	3.33%	0.00%
<b>SK-13</b>	156	107	49	7	0	80	30	7	7	12	11	0	0	0	1	1
%	100%	68.59%	31.41%	4.49%	0.00%	51.28%	19.23%	4.49%	4.49%	7.69%	7.05%	0.00%	0.00%	0.00%	0.64%	0.64%
<b>SK-14</b>	58	42	16	5	1	27	10	0	2	10	3	0	0	0	0	0
%	100%	72.41%	27.59%	8.62%	1.72%	46.55%	17.24%	0.00%	3.45%	17.24%	5.17%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>SK-15</b>	42	33	9	2	0	26	5	1	1	4	3	0	0	0	0	0
%	100%	78.57%	21.43%	4.76%	0.00%	61.90%	11.90%	2.38%	2.38%	9.52%	7.14%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>SK-16</b>	35	20	15	2	1	14	9	2	3	2	2	0	0	0	0	0
%	100%	57.14%	42.86%	5.71%	2.86%	40.00%	25.71%	5.71%	8.57%	5.71%	5.71%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>SK-17</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>All Other (Non-SK, Non-SO)</b>	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Senior Officer</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>TOTAL Population</b>	326	214	112	18	4	153	61	11	18	30	27	0	0	0	2	2
%	100%	65.64%	34.36%	5.52%	1.23%	46.93%	18.71%	3.37%	5.52%	9.20%	8.28%	0.00%	0.00%	0.00%	0.61%	0.61%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>Internal Competitive Promotions<sup>1</sup></b>	100%	37.27%	5.28%	1.24%	44.10%	18.63%	3.73%	9.32%	9.01%	7.76%	0.00%	0.00%	0.00%	0.00%	0.62%	0.31%
<b>Job Series of Vacancy: Securities Compliance Examining (1831)</b>	#	21														
Relevant Pool	%	62.73%	37.27%	5.28%	1.24%	44.10%	18.63%	3.73%	9.32%	9.01%	7.76%	0.00%	0.00%	0.00%	0.62%	0.31%
TOTAL Received	#	21	8	2	11	3	0	0	0	4	0	0	0	0	0	0
TOTAL Applications Received	%	100%	38.10%	9.52%	4.76%	52.38%	14.29%	0.00%	0.00%	19.05%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	18	7	1	10	2	0	0	0	4	0	0	0	0	0	0
	%	100%	38.89%	5.56%	55.56%	11.11%	0.00%	0.00%	0.00%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	3	0	0	0	2	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	3	0	0	0	2	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> *Selected* in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>SK, SO, AND RELATED GRADES Permanent Employees</b>																
<b>New Hires</b>																
<b>Securities Compliance Examining (1831): In FY 2019 Applicant Flow Data, one external securities compliance examiner application was marked selected.<sup>3</sup></b>																
TOTAL Received	#	103														
Voluntarily Identified	#	37														
	%	100%	24.32%	8.11%	2.70%	45.95%	13.51%	8.11%	5.41%	13.51%	2.70%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	34	27	7	2	0	17	5	3	5	1	0	0	0	0	0
	%	100%	79.41%	20.59%	5.88%	0.00%	50.00%	14.71%	8.82%	14.71%	2.94%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of Those Qualified	#	5	3	2	1	0	2	2	0	0	0	0	0	0	0	0
	%	100%	60.00%	40.00%	20.00%	0.00%	40.00%	40.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Onboarded <sup>4</sup>	#	2	1	1	0	1	0	0	0	0	1	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>2210 Information Technology Management</b>																
<b>Occupational CLF</b>	100%	70.36%	29.64%	5.39%	2.17%	52.21%	20.89%	6.61%	4.50%	5.14%	1.55%	0.10%	0.05%	0.53%	0.29%	0.38%
	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-09	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-10	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	1	0	1	0	0	0	0	1	0	0	0	0	0	0	0
SK-11	%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	4	2	2	0	0	0	2	2	0	0	0	0	0	0	0
SK-12	%	100%	50.00%	50.00%	0.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	85	56	29	5	1	24	7	11	13	5	0	0	1	0	2
SK-13	%	100%	65.88%	34.12%	5.88%	1.18%	28.24%	8.24%	12.94%	15.29%	5.88%	0.00%	0.00%	1.18%	0.00%	2.35%
	#	113	90	23	9	1	43	8	10	27	6	0	0	0	0	1
SK-14	%	100%	79.65%	20.35%	7.96%	0.88%	38.05%	7.08%	8.85%	23.89%	5.31%	0.00%	0.00%	0.00%	0.00%	0.88%
	#	45	29	16	2	1	12	7	5	9	3	0	0	1	0	0
SK-15	%	100%	64.44%	35.56%	4.44%	2.22%	26.67%	15.56%	11.11%	20.00%	6.67%	0.00%	0.00%	2.22%	0.00%	0.00%
	#	21	17	4	0	0	10	1	0	6	2	0	0	1	0	0
SK-16	%	100%	80.95%	19.05%	0.00%	0.00%	47.62%	4.76%	0.00%	28.57%	9.52%	0.00%	0.00%	4.76%	0.00%	0.00%
	#	11	9	2	0	0	8	1	0	1	0	0	0	0	0	0
SK-17	%	100%	81.82%	18.18%	0.00%	0.00%	72.73%	9.09%	0.00%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
All Other (Non-SK, Non-SO)	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	4	3	1	0	0	2	1	1	0	0	0	0	0	0	0
Senior Officer	%	100%	75.00%	25.00%	0.00%	50.00%	25.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	#	284	206	78	16	3	99	25	29	56	16	0	0	3	0	3
TOTAL Population	%	100%	72.54%	27.46%	5.63%	1.06%	34.86%	8.80%	10.21%	19.72%	5.63%	0.00%	0.00%	1.06%	0.00%	1.06%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Information Technology Management (2210)</b>																
<b>Relevant Pool</b>	%	100%	72.12%	27.88%	5.95%	1.12%	33.09%	8.55%	10.41%	20.45%	5.95%	0.00%	1.12%	0.00%	1.12%	0.00%
TOTAL Received	#	587														
TOTAL Applications Received	%	100%	78.71%	21.29%	6.64%	2.04%	23.51%	4.09%	19.08%	28.45%	6.98%	0.17%	0.34%	0.17%	0.51%	0.68%
Qualified	#	136	106	30	6	1	36	3	13	51	14	0	0	0	0	0
	%	100%	77.94%	22.06%	4.41%	0.74%	26.47%	2.21%	9.56%	37.50%	10.29%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	67	54	13	2	1	15	1	8	29	8	0	0	0	0	0
	%	100%	80.60%	19.40%	2.99%	1.49%	22.39%	1.49%	11.94%	43.28%	11.94%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	9	6	3	0	0	2	0	0	4	3	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	0.00%	22.22%	0.00%	0.00%	44.44%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> *Selected* in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>New Hires</b>	1,765															
<b>Information Technology Management (2210): In FY 2019 Applicant Flow Data, 13 information technology management external applications were marked selected.<sup>3</sup></b>																
TOTAL Received	#	1,031	276	110	30	290	54	323	142	291	46	2	0	5	0	4
Voluntarily Identified	#	78.88%	21.12%	8.42%	2.30%	22.19%	4.13%	24.71%	10.86%	22.26%	3.52%	0.15%	0.00%	0.38%	0.00%	0.77%
	%															
Qualified of Those Identified	#	971	249	104	28	272	49	300	129	280	39	1	0	5	0	4
	%	79.59%	20.41%	8.52%	2.30%	22.30%	4.02%	24.59%	10.57%	22.95%	3.20%	0.08%	0.00%	0.41%	0.00%	0.33%
Referred of Those Qualified	#	47	13	4	3	17	2	12	8	14	0	0	0	0	0	0
	%	78.33%	21.67%	6.67%	5.00%	28.33%	3.33%	20.00%	13.33%	23.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	4	2	0	0	2	1	1	1	1	0	0	0	0	0	0
	%	66.67%	33.33%	0.00%	0.00%	33.33%	16.67%	16.67%	16.67%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Onboarded <sup>4</sup>	#	5	3	0	0	3	1	1	1	1	1	0	0	0	0	0
	%	62.50%	37.50%	0.00%	0.00%	37.50%	12.50%	12.50%	12.50%	12.50%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

**TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 continued**

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	
<b>0110 Economist</b>	100%	67.07%	32.93%	3.34%	1.85%	55.79%	25.20%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%
<b>Occupational CLF</b>	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-09	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-10	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-11	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0
SK-12	%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	12	8	4	1	3	1	3	0	1	2	0	0	0	0	0	0
SK-13	%	100%	66.67%	33.33%	8.33%	25.00%	8.33%	25.00%	0.00%	8.33%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	42	31	11	0	25	4	0	0	5	5	0	0	1	0	0	0
SK-14	%	100%	73.81%	26.19%	0.00%	59.52%	9.52%	0.00%	0.00%	11.90%	11.90%	0.00%	0.00%	2.38%	0.00%	0.00%	0.00%
SK-15	#	3	3	0	0	3	0	0	0	0	0	0	0	0	0	0	0
SK-15	%	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	16	12	4	1	7	4	1	0	2	0	0	0	1	0	0	0
SK-16	%	100%	75.00%	25.00%	6.25%	43.75%	25.00%	6.25%	0.00%	12.50%	0.00%	0.00%	0.00%	6.25%	0.00%	0.00%	0.00%
SK-17	#	8	6	2	0	6	2	0	0	0	0	0	0	0	0	0	0
SK-17	%	100%	75.00%	25.00%	0.00%	75.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
All Other (Non-SK, Non-SO)	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	#	2	1	1	0	0	0	0	0	1	1	0	0	0	0	0	0
Senior Officer	%	100%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	#	84	62	22	3	45	11	4	0	9	8	0	0	2	0	0	0
TOTAL Population	%	100%	73.81%	26.19%	3.57%	53.57%	13.10%	4.76%	0.00%	10.71%	9.52%	0.00%	0.00%	2.38%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Economist (0110)</b>																
Relevant Pool <sup>2</sup>	100%	74.32%	25.68%	2.70%	4.05%	52.70%	12.16%	5.41%	10.81%	9.46%	0.00%	0.00%	2.70%	0.00%	0.00%	0.00%
TOTAL Received	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL Applications Received	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Referred	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> *Selected* in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6P: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
TOTAL Received	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Voluntarily Identified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of Those Qualified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Onboarded <sup>4</sup>	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Economist (0110): In FY 2019 Applicant Flow Data, no economist external applications were marked selected.<sup>3</sup>

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System; Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>0905 General Attorney</b>	100%	33.30%	2.52%	1.85%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.22%	0.18%
Occupational CLF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-09	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-10	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-11	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0
SK-12	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-13	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	2	2	0	0	0	1	0	0	1	0	0	0	0	0	0
SK-14	%	100%	100%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-15	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	11	3	0	0	7	3	1	0	0	0	0	0	0	0	0
SK-16	%	100%	27.27%	0.00%	0.00%	63.64%	27.27%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-17	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
All Other (Non-SK, Non-SO)	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	#	27	14	13	12	13	12	0	1	1	0	0	0	0	0	0
Senior Officer	%	100%	48.15%	0.00%	0.00%	48.15%	44.44%	0.00%	3.70%	3.70%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	#	41	23	18	16	20	16	1	1	2	1	0	0	0	0	0
TOTAL Population	%	100%	43.90%	0.00%	0.00%	48.78%	39.02%	2.44%	2.44%	4.88%	2.44%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: General Attorney (0905)</b>																
<b>Relevant Pool</b>	%	100%	54.19%	45.81%	2.30%	43.65%	32.30%	3.18%	4.26%	4.93%	6.49%	0.00%	0.14%	0.20%	0.00%	0.34%
TOTAL Received	#	54														
TOTAL Applications Received	%	100%	46.30%	53.70%	5.56%	33.33%	27.78%	3.70%	5.56%	3.70%	7.41%	0.00%	0.00%	0.00%	0.00%	5.56%
Qualified	#	49	23	26	3	16	15	2	2	2	4	0	0	0	0	2
	%	100%	46.94%	53.06%	6.12%	32.65%	30.61%	4.08%	4.08%	4.08%	8.16%	0.00%	0.00%	0.00%	0.00%	4.08%
Referred	#	10	4	6	0	2	4	2	0	0	1	0	0	0	0	1
	%	100%	40.00%	60.00%	0.00%	20.00%	40.00%	20.00%	0.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	10.00%
Selected	#	10	4	6	0	2	4	2	0	0	1	0	0	0	0	1
	%	100%	40.00%	60.00%	0.00%	20.00%	40.00%	20.00%	0.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	10.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> *Selected* in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>New Hires</b>																
<b>General Attorney (0905): In FY 2019 Applicant Flow Data, 64 attorney applications were marked as selected.</b>																
TOTAL Received	#	107														
Voluntarily Identified	#	61	20	32.79%	5	8.20%	23	37.70%	10	16.39%	8	13.11%	8	13.11%	4	6.56%
	%	100%	67.21%	32.79%	8.20%	3.28%	37.70%	16.39%	13.11%	13.11%	13.11%	13.11%	13.11%	13.11%	6.56%	6.56%
Qualified of Those Identified	#	29	7	24.14%	1	3.45%	17	58.62%	5	17.24%	1	3.45%	2	6.90%	3	10.34%
	%	100%	75.86%	24.14%	3.45%	0.00%	58.62%	17.24%	17.24%	17.24%	3.45%	6.90%	6.90%	6.90%	10.34%	10.34%
Referred of Those Qualified	#	11	1	9.09%	0	0.00%	8	72.73%	1	9.09%	0	0.00%	0	0.00%	2	18.18%
	%	100%	90.91%	9.09%	0.00%	0.00%	72.73%	9.09%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	18.18%	18.18%
Selected of Those Referred <sup>3</sup>	#	0	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Onboarded <sup>4</sup>	#	11	4	36.36%	0	0.00%	5	45.45%	4	36.36%	1	9.09%	1	9.09%	1	9.09%
	%	100%	63.64%	36.36%	0.00%	0.00%	45.45%	36.36%	36.36%	36.36%	9.09%	9.09%	9.09%	9.09%	9.09%	9.09%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	
<b>0510 Accountant</b>																		
<b>Occupational CLF</b>	100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	2.49%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.17%	0.29%	
SK-09	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-11	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-12	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-13	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-14	#	3	2	1	0	0	2	1	0	0	0	0	0	0	0	0	0	
	%	100%	66.67%	33.33%	0.00%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-16	#	15	8	7	0	8	5	5	0	0	2	0	0	0	0	0	0	
	%	100%	53.33%	46.67%	0.00%	53.33%	33.33%	33.33%	0.00%	0.00%	13.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-17	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
All Other (Non-SK, Non-SO)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Senior Officer	#	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
TOTAL Population	#	19	11	8	0	11	6	6	0	0	2	0	0	0	0	0	0	
	%	100%	57.89%	42.11%	0.00%	57.89%	31.58%	0.00%	0.00%	0.00%	10.53%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Accounting (0510)</b>																
<b>Relevant Pool</b>	%	100%	44.05%	3.33%	2.82%	43.15%	27.40%	3.97%	5.51%	5.38%	7.81%	0.00%	0.13%	0.13%	0.00%	0.38%
TOTAL Received	#	6														
TOTAL Applications Received	%	100%	50.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	6	3	0	0	3	3	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	2	1	0	0	1	1	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	2	1	0	0	1	1	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> *Selected* in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
TOTAL Received	21		3	14.3%	6	28.6%	2	9.5%	1	4.8%	0	0.0%	1	4.8%	0	0.0%
Voluntarily Identified	9	43%	3	33.3%	6	66.7%	2	22.2%	1	11.1%	0	0.0%	0	0.0%	0	0.0%
Qualified of Those Identified	4	100%	2	50.0%	2	50.0%	2	50.0%	1	25.0%	0	0.0%	0	0.0%	0	0.0%
Referred of Those Qualified	4	100%	2	50.0%	2	50.0%	2	50.0%	1	25.0%	0	0.0%	0	0.0%	0	0.0%
Selected of Those Referred <sup>3</sup>	2	100%	1	50.0%	1	50.0%	1	50.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Onboarded <sup>4</sup>	8	100%	5	62.5%	3	37.5%	5	62.5%	2	25.0%	1	12.5%	0	0.0%	0	0.0%

Accounting (0510): In FY 2019 Applicant Flow Data, 12 accountant applications were marked as selected.<sup>2</sup>

<sup>1</sup> This table contains Applicant Flow Data from USAS Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The Relevant Pool includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAS Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>1831 Securities Compliance Examining</b>	100%	45.25%	54.75%	3.06%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.24%	0.27%
Occupational CLF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-09	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-11	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-13	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-15	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-17	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Senior Officer	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Securities Compliance Examining (1831)</b>																
<b>Relevant Pool</b>	%	100%	62.73%	37.27%	5.28%	1.24%	44.10%	18.63%	3.73%	9.32%	9.01%	7.76%	0.00%	0.00%	0.00%	0.31%
TOTAL Received	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL Applications Received	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>New Hires</b>																
<b>Securities Compliance Examining (1831): In FY 2019 Applicant Flow Data, 4 applications were marked as selected.</b>																
TOTAL Received	#	0														
Voluntarily Identified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of Those Qualified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Onboarded <sup>4</sup>	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAS Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e. between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted. Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAS Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 continued

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>2210 Information Technology Management</b>																	
<b>Occupational CLF</b>	%	100%	70.36%	29.64%	5.39%	2.17%	52.21%	20.89%	6.61%	4.50%	5.14%	1.55%	0.10%	0.53%	0.29%	0.38%	0.18%
SK-09	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	1	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	2	1	1	0	0	1	0	0	0	0	1	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	#	3	2	1	0	1	1	0	0	0	1	1	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Information Technology Management (2210)</b>																
Relevant Pool <sup>2</sup>	%	100%	72.12%	27.88%	1.12%	33.09%	8.55%	10.41%	12.27%	20.45%	5.95%	0.00%	1.12%	0.00%	1.12%	0.00%
TOTAL Received	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL Applications Received	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>New Hires</b>																
<b>Information Technology Management (2210): In FY 2019 Applicant Flow Data, 21 information technology management applications were marked as selected.</b>																
TOTAL Received	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Voluntarily Identified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of Those Qualified	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Onboarded <sup>4</sup>	#	2	1	1	0	0	1	0	0	0	1	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e. between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart: FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%
<b>0110 Economist</b>	100%	67.07%	32.93%	3.34%	1.85%	55.79%	25.20%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%
Occupational CLF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-09	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-10	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-11	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-12	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-13	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	12	6	6	1	0	3	5	0	2	1	0	0	0	0	0	0
SK-14	%	100%	50.00%	50.00%	8.33%	0.00%	25.00%	41.67%	0.00%	16.67%	8.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-15	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	1	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0
SK-16	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-17	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-17	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
All Other (Non-SK, Non-SO)	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Senior Officer	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Population	#	13	7	6	1	0	3	5	0	3	1	0	0	0	0	0	0
TOTAL Population	%	100%	53.85%	46.15%	7.69%	0.00%	23.08%	38.46%	0.00%	23.08%	7.69%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Job Series of Vacancy: Economist (0110)</b>																
<b>Relevant Pool</b>	%	100%	74.32%	25.68%	2.70%	4.05%	52.70%	12.16%	5.41%	10.81%	9.46%	0.00%	2.70%	0.00%	0.00%	0.00%
TOTAL Received	#	6	6	0	0	0	6	0	0	0	0	0	0	0	0	0
TOTAL Applications Received	%	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	4	4	0	0	4	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred	#	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A6T: PARTICIPATION IN MISSION CRITICAL OCCUPATIONS: DISTRIBUTION BY RACE/ETHNICITY AND SEX—  
TEMPORARY WORKFORCE—PAY PERIOD 201921 *continued*

SK, SO, AND RELATED GRADES Temporary Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
			All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>New Hires</b>																
<b>Economist (0110): in FY 2019 Applicant Flow Data, no economist external applications were marked selected.<sup>3</sup></b>																
TOTAL Received	#	162														
Voluntarily Identified	#	61	42	19	6	0	27	12	2	3	6	4	0	0	1	0
	%	100%	68.85%	31.15%	9.84%	0.00%	44.26%	19.67%	3.28%	4.92%	9.84%	6.56%	0.00%	0.00%	1.64%	0.00%
Qualified of Those Identified	#	52	34	18	3	0	23	12	1	2	6	4	0	0	1	0
	%	100%	65.38%	34.62%	5.77%	0.00%	44.23%	23.08%	1.92%	3.85%	11.54%	7.69%	0.00%	0.00%	1.92%	0.00%
Referred of Those Qualified	#	51	33	18	3	0	23	12	1	2	5	4	0	0	1	0
	%	100%	64.71%	35.29%	5.88%	0.00%	45.10%	23.53%	1.96%	3.92%	9.80%	7.84%	0.00%	0.00%	1.96%	0.00%
Selected of Those Referred <sup>3</sup>	#	6	3	3	1	0	0	3	0	0	1	0	0	0	1	0
	%	100%	50.00%	50.00%	16.67%	0.00%	0.00%	50.00%	0.00%	0.00%	16.67%	0.00%	0.00%	0.00%	16.67%	0.00%
Onboarded <sup>4</sup>	#	3	2	1	1	0	1	1	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	33.33%	0.00%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e. between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding an occupational series that would qualify them for the position posted. Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number *selected of those referred*.

<sup>4</sup> *Onboarded* includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
Upward Mobility Benchmark	100%	55.31%	44.69%	3.14%	2.39%	41.06%	25.93%	4.30%	9.42%	6.41%	6.35%	0.00%	0.03%	0.28%	0.10%	0.46%	
<b>GS Equivalent Senior Grade Levels</b>																	
TOTAL Senior Grades	#	3,881	2,212	1,669	129	84	1,642	1,032	164	286	261	248	0	1	11	4	14
	%	100%	57.00%	43.00%	3.32%	2.16%	42.31%	26.59%	4.23%	7.37%	6.73%	6.39%	0.00%	0.03%	0.28%	0.10%	0.36%
<b>Internal Competitive Promotions<sup>1</sup></b>																	
<b>Total All Senior Grade Levels</b>																	
TOTAL Received	#	3,605															
TOTAL Applications Received	#	2,744	1,626	1,118	156	107	715	323	426	516	302	132	2	2	12	11	27
	%	100%	59.26%	40.74%	5.69%	3.90%	26.06%	11.77%	15.52%	18.80%	11.01%	4.81%	0.07%	0.07%	0.44%	0.40%	0.98%
Qualified	#	1,544	887	657	82	62	450	211	208	290	136	72	1	2	5	8	12
	%	100%	57.45%	42.55%	5.31%	4.02%	29.15%	13.67%	13.47%	18.78%	8.81%	4.66%	0.06%	0.13%	0.32%	0.52%	0.78%
Referred	#	1,048	591	457	62	43	262	134	173	222	85	41	1	2	3	5	10
	%	100%	56.39%	43.61%	5.92%	4.10%	25.00%	12.79%	16.51%	21.18%	8.11%	3.91%	0.10%	0.19%	0.29%	0.48%	0.95%
Selected	#	80	43	37	1	4	29	21	2	5	11	6	0	0	0	0	1
	%	100%	53.75%	46.25%	1.25%	5.00%	36.25%	26.25%	2.50%	6.25%	13.75%	7.50%	0.00%	0.00%	0.00%	0.00%	1.25%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPSS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
			All													
<b>NEW HIRES</b>																
<b>TOTAL All Senior Grade Levels</b>																
TOTAL Received	#	4,494														
Voluntarily Identified	#	2,953	2,003	950	103	812	284	492	413	402	137	2	0	14	1	12
	%	100%	67.83%	32.17%	8.84%	3.49%	27.50%	9.62%	13.99%	13.61%	4.64%	0.07%	0.00%	0.47%	0.03%	0.41%
Qualified of Those Identified	#	2,533	1,762	771	79	720	246	427	333	363	102	1	0	9	0	11
	%	100%	69.56%	30.44%	8.92%	3.12%	28.42%	9.71%	13.15%	14.33%	4.03%	0.04%	0.00%	0.36%	0.00%	0.43%
Referred of Those Qualified	#	269	180	89	4	106	45	29	26	29	14	0	0	1	0	0
	%	100%	66.91%	33.09%	5.58%	1.49%	16.73%	10.78%	9.67%	10.78%	5.20%	0.00%	0.00%	0.37%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	25	12	13	2	7	10	1	3	2	0	0	0	0	0	0
	%	100%	48.00%	52.00%	8.00%	28.00%	40.00%	4.00%	12.00%	8.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL ONBOARDED <sup>4</sup>	#	48	21	27	4	14	17	1	4	2	6	0	0	0	0	0
	%	100%	43.75%	56.25%	8.33%	29.17%	35.42%	2.08%	8.33%	4.17%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for All Senior Grade Level Jobs</b>																
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>SES Equivalent Senior Grade Levels</b>																
Exec SES Equivalent	# 121	71	50	2	0	41	4	4	3	2	3	0	1	0	0	1
	% 100%	58.68%	41.32%	1.65%	0.00%	33.88%	3.31%	3.31%	1.65%	2.48%	0.83%	0.00%	0.83%	0.00%	0.00%	0.83%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Grade of Vacancy: SO-01</b>																
<b>Relevant Pool<sup>2</sup></b>	% 100%	41.88%	43.99%	3.28%	2.23%	27.04%	3.72%	5.66%	6.83%	6.48%	0.00%	0.00%	0.23%	0.12%	0.06%	0.35%
TOTAL Received	# 144															
TOTAL Applications Received	# 107	52	55	3	5	27	11	17	1	5	0	0	0	0	0	1
	% 100%	48.60%	51.40%	2.80%	4.67%	25.23%	10.28%	15.89%	0.93%	4.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.93%
Qualified	# 61	30	31	2	2	18	4	8	1	2	0	0	0	0	0	1
	% 100%	49.18%	50.82%	3.28%	3.28%	37.70%	6.56%	13.11%	1.64%	3.28%	0.00%	0.00%	0.00%	0.00%	0.00%	1.64%
Referred	# 51	22	29	2	2	16	3	8	0	2	0	0	0	0	0	1
	% 100%	43.14%	56.86%	3.92%	3.92%	31.37%	5.88%	15.69%	0.00%	3.92%	0.00%	0.00%	0.00%	0.00%	0.00%	1.96%
Selected	# 8	4	4	0	0	3	0	0	0	0	0	0	0	0	0	1
	% 100%	50.00%	50.00%	0.00%	0.00%	37.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	12.50%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e. between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted. Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>3</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>4</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>SES Equivalent Grade Level</b>																
TOTAL Received	#	146														
Voluntarily Identified	#	94	27	1	44	11	9	6	0	0	0	0	0	0	0	0
	%	100%	28.72%	3.19%	46.81%	11.70%	9.57%	6.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	44	13	0	25	3	3	3	0	0	0	0	0	0	0	0
	%	100%	29.55%	0.00%	56.82%	6.82%	2.27%	6.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of Those Qualified	#	44	13	0	25	3	3	3	0	0	0	0	0	0	0	0
	%	100%	29.55%	0.00%	56.82%	6.82%	2.27%	6.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	3	1	0	2	1	0	0	0	0	0	0	0	0	0	0
	%	100%	33.33%	0.00%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Exec Onboarded <sup>4</sup>	#	3	2	0	1	2	0	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	0.00%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for SES Equivalent Jobs</b>																
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>GS-15 Equivalent Senior Grade Levels</b>																
#	750	476	274	9	366	187	24	42	51	35	0	0	2	0	0	1
%	100%	63.47%	36.53%	1.20%	48.80%	24.93%	3.20%	5.60%	6.80%	4.67%	0.00%	0.00%	0.27%	0.00%	0.00%	0.13%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Grades of Vacancies: SK-15 &amp; SK-17</b>																
%	100%	57.60%	42.40%	3.18%	43.13%	26.93%	3.91%	5.80%	7.09%	6.72%	0.00%	0.00%	0.23%	0.13%	0.07%	0.36%
<b>Relevant Pool<sup>2</sup></b>																
#	1,593															
#	1,231	798	433	41	367	130	197	184	144	66	1	0	2	5	4	7
%	100%	64.83%	35.17%	3.33%	29.81%	10.56%	16.00%	14.95%	11.70%	5.36%	0.08%	0.00%	0.16%	0.41%	0.32%	0.57%
Qualified	#	785	485	52	247	98	113	131	68	37	1	0	2	4	2	4
%	100%	61.78%	38.22%	6.62%	31.46%	12.48%	14.39%	16.69%	8.66%	4.71%	0.13%	0.00%	0.25%	0.51%	0.25%	0.51%
Referred	#	558	338	220	139	63	106	111	44	17	1	0	2	4	2	4
%	100%	60.57%	39.43%	3.76%	24.91%	11.29%	19.00%	19.89%	7.89%	3.05%	0.18%	0.00%	0.36%	0.72%	0.36%	0.72%
Selected	#	30	14	1	10	10	1	3	2	2	0	0	0	0	0	0
%	100%	46.67%	53.33%	3.33%	33.33%	33.33%	3.33%	10.00%	6.67%	6.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAS Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAS Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
			All	All	All	All	All	All	All	All	All	All	All	All	All	All
<b>New Hires</b>																
<b>GS-15 Equivalent Grade Level</b>																
TOTAL Received	#	533														
Voluntarily Identified	#	363	257	106	6	34	66	40	50	24	0	0	2	0	0	2
	%	100%	70.80%	29.20%	1.65%	9.37%	18.18%	11.02%	13.77%	6.61%	0.00%	0.00%	0.55%	0.00%	0.00%	0.55%
Qualified of Those Identified	#	292	215	77	2	29	50	27	45	17	0	0	2	0	0	2
	%	100%	73.63%	26.37%	0.68%	9.93%	17.12%	9.25%	15.41%	5.82%	0.00%	0.00%	0.68%	0.00%	0.00%	0.68%
Referred of Those Qualified	#	50	31	19	3	8	7	9	2	2	0	0	0	0	0	0
	%	100%	62.00%	38.00%	0.00%	16.00%	14.00%	18.00%	4.00%	4.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	3	0	3	0	2	0	1	0	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	66.67%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
GS-15 Onboarded <sup>4</sup>	#	6	2	4	1	4	0	0	0	0	0	0	0	0	0	0
	%	100%	33.33%	66.67%	16.67%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for SK 15 – 17</b>																
Relevant Pool	%	100%	62.45%	37.55%	3.32%	48.93%	3.08%	4.58%	6.80%	4.82%	0.00%	0.00%	0.32%	0.16%	0.00%	0.32%
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>GS-14 Equivalent Senior Grade Levels</b>																
#	2,660	1,506	1,154	67	1,134	735	103	151	186	186	0	0	6	4	2	11
%	100%	56.62%	43.38%	2.52%	42.63%	27.63%	3.87%	5.68%	6.84%	6.99%	0.00%	0.00%	0.23%	0.15%	0.08%	0.41%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Grades of Vacancies: SK-14 &amp; SK-16</b>																
<b>Relevant Pool<sup>2</sup></b>	%	100%	44.50%	3.57%	39.52%	25.68%	4.77%	8.69%	7.18%	7.04%	0.00%	0.00%	0.28%	0.07%	0.18%	0.32%
TOTAL Received	#	1,389														
TOTAL Applications Received	#	1,051	467	51	44	259	130	233	111	43	0	2	8	3	5	12
	%	100%	44.3%	4.85%	4.19%	24.64%	12.37%	22.17%	10.56%	4.09%	0.00%	0.19%	0.76%	0.29%	0.48%	1.14%
Qualified	#	556	316	240	23	156	70	112	56	23	0	2	3	2	3	6
	%	100%	56.83%	43.17%	4.14%	28.06%	12.59%	20.14%	10.07%	4.14%	0.00%	0.36%	0.54%	0.36%	0.54%	1.08%
Referred	#	370	198	172	14	92	44	57	31	15	0	2	1	1	3	5
	%	100%	53.51%	46.49%	3.78%	24.86%	11.89%	15.41%	8.38%	4.05%	0.00%	0.54%	0.27%	0.27%	0.81%	1.35%
Selected	#	34	24	10	1	14	5	2	9	2	0	0	0	0	0	0
	%	100%	70.59%	29.41%	0.00%	41.18%	14.71%	2.94%	26.47%	5.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>New Hires</b>																
<b>GS-14 Equivalent Grade Levels</b>																
TOTAL Received	2,715															
Voluntarily Identified	1,749	64.1%	533	30.5%	154	8.8%	514	29.4%	265	15.2%	175	10.0%	230	13.2%	256	14.7%
Qualified of Those Identified	1,501	85.8%	418	77.1%	132	7.4%	467	27.1%	234	13.6%	146	8.5%	177	10.4%	233	13.5%
Referred of Those Qualified	132	8.8%	41	31.1%	8	6.0%	53	40.1%	11	8.3%	24	18.3%	8	6.0%	18	13.6%
Selected of Those Referred <sup>3</sup>	13	9.8%	5	38.5%	2	15.4%	4	30.8%	1	7.7%	5	38.5%	0	0.0%	1	7.7%
GS-14 Onboarded <sup>4</sup>	21	13.9%	10	47.6%	2	9.5%	8	38.1%	0	0.0%	6	28.6%	2	9.5%	1	4.8%
<b>Career Development Programs</b>																
<b>Career Development Programs for SK 13 – 14</b>																
Relevant Pool	100%	54.15%	45.85%	3.41%	2.81%	38.48%	26.25%	4.85%	8.98%	6.93%	7.37%	0.00%	0.28%	0.08%	0.20%	0.36%
Slots <sup>5</sup>	0															
Applied	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Participants	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>GS-13 Equivalent Senior Grade Levels</b>																
#	350	191	15	8	79	69	33	89	26	24	0	0	3	0	3	1
%	100%	54.57%	4.29%	2.29%	22.57%	19.71%	9.43%	25.43%	7.43%	6.86%	0.00%	0.00%	0.86%	0.00%	0.86%	0.29%
<b>Internal Competitive Promotions<sup>1</sup></b>																
<b>Grade of Vacancy: SK-13</b>																
<b>Relevant Pool<sup>2</sup></b>	%	100%	0.00%	4.21%	7.89%	19.47%	13.16%	46.84%	1.58%	4.74%	0.00%	0.00%	0.53%	0.53%	0.00%	1.05%
TOTAL Received	#	479														
TOTAL Applications Received	#	355	163	17	52	36	68	82	46	18	1	0	2	3	4	7
	%	100%	45.92%	4.79%	14.65%	10.14%	19.15%	23.10%	12.96%	5.07%	0.28%	0.00%	0.56%	0.85%	1.13%	1.97%
Qualified	#	142	56	9	24	25	16	39	11	10	0	0	0	2	0	1
	%	100%	39.44%	3.52%	16.90%	17.61%	11.27%	27.46%	7.75%	7.04%	0.00%	0.00%	0.00%	1.41%	0.00%	0.70%
Referred	#	69	33	2	14	11	7	16	10	7	0	0	0	0	0	0
	%	100%	47.83%	2.90%	20.29%	15.94%	10.14%	23.19%	14.49%	10.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	8	1	2	1	3	0	0	0	2	0	0	0	0	0	0
	%	100%	12.50%	0.00%	12.50%	37.50%	0.00%	0.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A7: PARTICIPATION RATES FOR SENIOR GRADE LEVELS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

SENIOR GRADE LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	#	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
			All	All	All	All	All	All	All	All	All	All	All	All	All	All	All
<b>New Hires</b>																	
<b>GS-13 Equivalent Grade Level</b>																	
TOTAL Received	#	1,100															
Voluntarily Identified	#	747	463	284	73	45	146	64	150	134	87	33	1	0	1	5	7
	%	100%	61.98%	38.02%	9.77%	6.02%	19.54%	8.57%	20.08%	17.94%	11.65%	4.42%	0.13%	0.00%	0.13%	0.67%	0.94%
Qualified of Those Identified	#	696	433	263	67	39	137	62	140	128	82	28	1	0	1	5	6
	%	100%	62.21%	37.79%	9.63%	5.60%	19.68%	8.91%	20.11%	18.39%	11.78%	4.02%	0.14%	0.00%	0.14%	0.72%	0.86%
Referred of Those Qualified	#	43	27	16	4	3	9	4	8	8	6	1	0	0	0	0	0
	%	100%	62.79%	37.21%	9.30%	6.98%	20.93%	9.30%	18.60%	18.60%	13.95%	2.33%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	6	2	4	0	0	1	2	0	2	1	0	0	0	0	0	0
	%	100%	33.33%	66.67%	0.00%	0.00%	16.67%	33.33%	0.00%	33.33%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
GS-13 Onboarded <sup>4</sup>	#	18	7	11	1	0	4	5	1	2	1	4	0	0	0	0	0
	%	100%	38.89%	61.11%	5.56%	0.00%	22.22%	27.78%	5.56%	11.11%	5.56%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																	
<b>Career Development Programs for SK 13 – 14</b>																	
Relevant Pool	%	100%	54.15%	45.85%	3.41%	2.81%	38.48%	26.25%	4.85%	8.98%	6.93%	7.37%	0.00%	0.00%	0.28%	0.20%	0.36%
Slots <sup>5</sup>	#	0															
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each GS-equivalent grade level. During FY 2019, no career development programs were offered meeting the table's definition.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

**TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921**

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Upward Mobility Benchmark	100%	56.44%	43.56%	3.17%	2.28%	42.48%	26.55%	4.11%	7.78%	6.28%	6.45%	0.00%	0.03%	0.25%	0.11%	0.14%	0.36%
<b>Leadership Levels</b>																	
TOTAL	#	862	533	329	34	10	416	226	28	50	53	40	0	1	2	0	2
Management	%	100%	61.83%	38.17%	3.94%	1.16%	48.26%	26.22%	3.25%	5.80%	6.15%	4.64%	0.00%	0.12%	0.23%	0.00%	0.23%
<b>Internal Competitive Promotions<sup>1</sup></b>																	
<b>TOTAL Leadership Levels</b>																	
TOTAL Received	#	2,012															
TOTAL	#	1,613	1,028	585	96	52	510	198	228	240	185	81	1	0	3	6	8
Applications Received	%	100%	63.73%	36.27%	5.95%	3.22%	31.62%	12.28%	14.14%	14.88%	11.47%	5.02%	0.06%	0.00%	0.19%	0.37%	0.50%
Qualified	#	1,076	662	414	62	34	357	151	133	173	104	46	1	0	3	5	5
	%	100%	61.52%	38.48%	5.76%	3.16%	33.18%	14.03%	12.36%	16.08%	9.67%	4.28%	0.09%	0.00%	0.28%	0.46%	0.46%
Referred	#	684	404	280	47	26	184	94	113	130	55	21	1	0	2	4	5
	%	100%	59.06%	40.94%	6.87%	3.80%	26.90%	13.74%	16.52%	19.01%	8.04%	3.07%	0.15%	0.00%	0.29%	0.58%	0.73%
Selected	#	72	41	31	1	2	28	20	2	4	10	4	0	0	0	0	1
	%	100%	56.94%	43.06%	1.39%	2.78%	38.89%	27.78%	2.78%	5.56%	13.89%	5.56%	0.00%	0.00%	0.00%	0.00%	1.39%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level and supervisory status that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>NEW HIRES</b>																
<b>TOTAL All Leadership Levels</b>																
TOTAL Received	#	679														
Voluntarily Identified	#	457	133	7	152	45	77	49	59	30	0	0	2	0	0	2
	%	100%	29.10%	1.53%	33.26%	9.85%	16.85%	10.72%	12.91%	6.56%	0.00%	0.00%	0.44%	0.00%	0.00%	0.44%
Qualified of Those Identified	#	336	90	2	116	38	53	28	48	20	0	0	2	0	0	2
	%	100%	26.79%	0.60%	34.52%	11.31%	15.77%	8.33%	14.29%	5.95%	0.00%	0.00%	0.60%	0.00%	0.00%	0.60%
Referred of Those Qualified	#	94	32	0	44	17	10	10	5	5	0	0	0	0	0	0
	%	100%	34.04%	0.00%	46.81%	18.09%	10.64%	10.64%	5.32%	5.32%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	6	4	0	2	3	0	1	0	0	0	0	0	0	0	0
	%	100%	66.67%	0.00%	33.33%	50.00%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>TOTAL LEADERSHIP ONBOARDED<sup>4</sup></b>	#	9	6	1	2	6	0	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	11.11%	22.22%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for All Leadership Jobs</b>																
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level and supervisory status that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 continued

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Executive Level																
Executive	121	71	50	0	63	41	4	4	2	3	0	1	0	0	0	1
	100%	58.68%	41.32%	0.00%	52.07%	33.88%	3.31%	3.31%	1.65%	2.48%	0.00%	0.83%	0.00%	0.00%	0.00%	0.83%
SK-17	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	121	71	50	0	63	41	4	4	2	3	0	1	0	0	0	1
	100%	58.68%	41.32%	0.00%	52.07%	33.88%	3.31%	3.31%	1.65%	2.48%	0.00%	0.83%	0.00%	0.00%	0.00%	0.83%
<b>Internal Competitive Promotions<sup>1</sup></b>																
Executive																
Relevant Pool	100%	61.95%	38.05%	4.11%	50.39%	28.02%	2.31%	4.63%	4.88%	4.63%	0.00%	0.00%	0.26%	0.00%	0.00%	0.26%
TOTAL Received	#	144														
TOTAL Applications Received	#	107	55	5	37	27	11	17	1	5	0	0	0	0	0	1
	%	100%	48.60%	51.40%	2.80%	34.58%	10.28%	15.89%	0.93%	4.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.93%
Qualified	#	61	30	31	23	18	4	8	1	2	0	0	0	0	0	1
	%	100%	49.18%	50.82%	37.70%	29.51%	6.56%	13.11%	1.64%	3.28%	0.00%	0.00%	0.00%	0.00%	0.00%	1.64%
Referred	#	51	22	29	17	16	3	8	0	2	0	0	0	0	0	1
	%	100%	43.14%	56.86%	33.33%	31.37%	5.88%	15.69%	0.00%	3.92%	0.00%	0.00%	0.00%	0.00%	0.00%	1.96%
Selected	#	8	4	4	4	3	0	0	0	0	0	0	0	0	0	1
	%	100%	50.00%	50.00%	50.00%	37.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	12.50%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). Internal Competitive Promotions data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The Relevant Pool includes all employees holding a grade level and supervisory status that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
<b>New Hires</b>																
<b>Executive Vacancy Level</b>																
TOTAL Received	#	146														
Voluntarily Identified	#	94	67	27	1	44	11	9	9	6	0	0	0	0	0	0
	%	100%	71.28%	28.72%	3.19%	1.06%	46.81%	11.70%	9.57%	9.57%	6.38%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	44	31	13	0	25	9	3	1	3	0	0	0	0	0	0
	%	100%	70.45%	29.55%	0.00%	56.82%	20.45%	6.82%	2.27%	6.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Referred of Those Qualified	#	44	31	13	0	25	9	3	1	3	0	0	0	0	0	0
	%	100%	70.45%	29.55%	0.00%	56.82%	20.45%	6.82%	2.27%	6.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	3	2	1	0	2	1	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Executive Onboarded <sup>4</sup>	#	3	1	2	0	1	2	0	0	0	0	0	0	0	0	0
	%	100%	33.33%	66.67%	0.00%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																
<b>Career Development Programs for Executive Levels</b>																
Slots <sup>5</sup>	#	0														
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level and supervisory status that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Manager Level</b>																	
<b>Manager</b>	389	100%	241	148	16	2	196	109	9	18	19	18	0	0	1	0	1
			61.95%	38.05%	4.11%	0.51%	50.39%	28.02%	2.31%	4.63%	4.88%	4.63%	0.00%	0.00%	0.26%	0.00%	0.26%
SK-17	389	100%	241	148	16	2	196	109	9	18	19	18	0	0	1	0	1
			61.95%	38.05%	4.11%	0.51%	50.39%	28.02%	2.31%	4.63%	4.88%	4.63%	0.00%	0.00%	0.26%	0.00%	0.26%
All Other (Non-SK, Non-SO)	0	100%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	0	100%	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Internal Competitive Promotions<sup>1</sup></b>																	
<b>Manager</b>																	
<b>Relevant Pool</b>																	
	100%		63.14%	36.86%	4.57%	2.29%	44.86%	21.71%	4.29%	7.43%	9.14%	5.43%	0.00%	0.00%	0.29%	0.00%	0.00%
TOTAL Received	#		484														
TOTAL Applications Received	#		390	127	24	9	164	54	45	42	27	20	0	0	1	0	2
	%		100%	32.56%	6.15%	2.31%	42.05%	13.85%	11.54%	10.77%	6.92%	5.13%	0.00%	0.00%	0.26%	0.00%	0.51%
Qualified	#		304	94	19	5	140	44	26	30	23	14	0	0	1	0	1
	%		100%	30.92%	6.25%	1.64%	46.05%	14.47%	8.55%	9.87%	7.57%	4.61%	0.00%	0.00%	0.33%	0.00%	0.33%
Referred	#		144	46	13	2	55	20	23	19	5	4	0	0	1	0	1
	%		100%	31.94%	9.03%	1.39%	38.19%	13.89%	15.97%	13.19%	3.47%	2.78%	0.00%	0.00%	0.69%	0.00%	0.69%
Selected	#		17	8	0	0	7	5	0	1	2	2	0	0	0	0	0
	%		100%	47.06%	0.00%	0.00%	41.18%	29.41%	0.00%	5.88%	11.76%	11.76%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USAStaffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level and supervisory status that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	#	%	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
			All	All	All	All	All	All	All	All	All	All	All	All	All	All	All
<b>Manager Vacancy Level</b>																	
TOTAL Received	#	104															
Voluntarily Identified	#	57	34	23	0	0	21	11	5	6	3	6	0	0	1	0	0
	%	100%	59.65%	40.35%	0.00%	36.84%	19.30%	8.77%	10.53%	5.26%	10.53%	0.00%	0.00%	1.75%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	57	34	23	0	0	21	11	5	6	3	6	0	0	1	0	0
	%	100%	59.65%	40.35%	0.00%	36.84%	19.30%	8.77%	10.53%	5.26%	10.53%	0.00%	0.00%	1.75%	0.00%	0.00%	0.00%
Referred of Those Qualified	#	6	2	4	0	0	2	2	0	2	0	0	0	0	0	0	0
	%	100%	33.33%	66.67%	0.00%	33.33%	33.33%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	2	0	2	0	0	0	1	0	1	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Manager Onboarded <sup>4</sup>	#	3	2	1	0	1	1	1	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Career Development Programs</b>																	
<b>Career Development Programs for Managers</b>																	
Relevant Pool	%	100%	62.45%	37.55%	3.32%	1.11%	48.93%	26.56%	3.08%	4.58%	6.80%	4.82%	0.00%	0.32%	0.16%	0.00%	0.32%
Slots <sup>5</sup>	#	0															
Applied	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e., between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level and supervisory status that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Supervisor Level</b>																	
Supervisor	352	100%	221	131	8	157	76	15	28	32	19	0	0	1	0	0	0
			62.78%	37.22%	4.55%	2.27%	21.59%	4.26%	7.95%	9.09%	5.40%	0.00%	0.00%	0.28%	0.00%	0.00%	0.00%
SK-09	1	100%	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0
			0.00%	100%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	1	100%	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0
			0.00%	100%	0.00%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	8	100%	2	6	1	2	2	0	2	0	1	0	0	0	0	0	0
			25.00%	75.00%	0.00%	12.50%	25.00%	0.00%	25.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	8	100%	2	6	0	2	3	0	2	0	1	0	0	0	0	0	0
			25.00%	75.00%	0.00%	0.00%	37.50%	0.00%	25.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	333	100%	216	117	7	152	71	15	22	32	17	0	0	1	0	0	0
			64.86%	35.14%	4.80%	2.10%	21.32%	4.50%	6.61%	9.61%	5.11%	0.00%	0.00%	0.30%	0.00%	0.00%	0.00%
SK-16	1	100%	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0
			100%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
All Other (Non-SK, Non-SO)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
			0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races			
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female		
<b>Internal Competitive Promotions<sup>1</sup></b>																		
Supervisor																		
Relevant Pool <sup>2</sup>	%	100%	51.96%	48.04%	3.17%	2.91%	36.31%	25.77%	5.44%	11.66%	6.55%	7.19%	0.00%	0.00%	0.30%	0.11%	0.19%	0.41%
TOTAL Received	#	1,384																
TOTAL Applications Received	#	1,116	713	403	69	38	309	117	172	181	157	56	1	0	2	6	3	5
	%	100%	63.89%	36.11%	6.18%	3.41%	27.69%	10.48%	15.41%	16.22%	14.07%	5.02%	0.09%	0.00%	0.18%	0.54%	0.27%	0.45%
Qualified	#	711	422	289	41	27	194	89	103	135	80	30	1	0	2	5	1	3
	%	100%	59.35%	40.65%	5.77%	3.80%	27.29%	12.52%	14.49%	18.99%	11.25%	4.22%	0.14%	0.00%	0.28%	0.70%	0.14%	0.42%
Referred	#	489	284	205	32	22	112	58	87	103	50	15	1	0	1	4	1	3
	%	100%	58.08%	41.92%	6.54%	4.50%	22.90%	11.86%	17.79%	21.06%	10.22%	3.07%	0.20%	0.00%	0.20%	0.82%	0.20%	0.61%
Selected	#	47	28	19	1	2	17	12	2	3	8	2	0	0	0	0	0	0
	%	100%	59.57%	40.43%	2.13%	4.26%	36.17%	25.53%	4.26%	6.38%	17.02%	4.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e. between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level and supervisory status that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected from a vacancy posted during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>New Hires</b>																
<b>Supervisor Vacancy Level</b>																
TOTAL Received	#	429														
Voluntarily Identified	#	306	223	83	6	23	61	34	47	18	0	0	1	0	0	2
	%	100%	72.88%	27.12%	1.96%	7.52%	19.93%	11.11%	15.36%	5.88%	0.00%	0.00%	0.33%	0.00%	0.00%	0.65%
Qualified of Those Identified	#	235	181	54	2	18	45	21	42	11	0	0	1	0	0	2
	%	100%	77.02%	22.98%	0.85%	7.66%	19.15%	8.94%	17.87%	4.68%	0.00%	0.00%	0.43%	0.00%	0.00%	0.85%
Referred of Those Qualified	#	44	29	15	3	6	7	7	2	2	0	0	0	0	0	0
	%	100%	65.91%	34.09%	0.00%	13.64%	15.91%	15.91%	4.55%	4.55%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Referred <sup>3</sup>	#	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Supervisor Onboarded <sup>4</sup>	#	3	0	3	0	3	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> This table contains Applicant Flow Data from USA Staffing for permanent vacancies posted with close dates during the fiscal year ending on 9/30/2019 (i.e. between 10/1/2018 and 09/30/2019). *Internal Competitive Promotions* data includes vacancies posted for internal SEC-only and Merit Promotion (MP) government-wide consideration following EEOC instruction. Other methods of progressing to higher graded positions are not presented.

<sup>2</sup> The *Relevant Pool* includes all employees holding a grade level and supervisory status that would qualify them for the position posted.

<sup>3</sup> Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2019, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those referred.

<sup>4</sup> Onboarded includes all newly hired staff with an effective date of hire during the fiscal year ending on 9/30/2019. The number onboarded may not equal the number selected during the fiscal year because some new hires applied during a prior fiscal year and some vacancy selections may not materialize into new hires successfully Onboarded.

<sup>5</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPFS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A8: PARTICIPATION RATES FOR MANAGEMENT POSITIONS BY RACE/ETHNICITY AND SEX—PERMANENT WORKFORCE—PAY PERIOD 201921 *continued*

LEADERSHIP LEVEL WORKFORCE Permanent Employees	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Career Development Programs</b>																
<b>Career Development Programs for Supervisors</b>																
Relevant Pool	%	100%	54.15%	45.85%	3.41%	2.81%	38.48%	26.25%	4.85%	8.98%	6.93%	7.37%	0.00%	0.28%	0.08%	0.36%
Slots <sup>1</sup>	#	0														
Applied	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Participants	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

<sup>1</sup> Slots shows the total number of available training slots for career development programs targeted each leadership level. During FY 2019, no career development programs were offered meeting the table's definition. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201921, downloaded on 11/12/2019

TABLE A9P: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—FY 2019  
(10/1/2018 THROUGH 9/30/2019)

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Time-Off Awards</b>																
<b>Time-Off Awards: 1 – 10 hours</b>																
TOTAL #	1,590	814	45	34	564	471	75	223	86	71	0	0	5	5	1	10
Time-Off Awards Given %	100%	51.19%	2.83%	2.14%	35.47%	29.62%	4.72%	14.03%	5.41%	4.47%	0.00%	0.00%	0.31%	0.31%	0.06%	0.63%
TOTAL Hours	10,983	5,463	312	238	4,019	3,149	499	1,495	640	487	0	0	42	26	8	68
Average Hours	7	7	7	7	7	7	7	7	7	7	0	0	8	5	8	7
<b>Time-Off Awards: 11 – 20 hours</b>																
TOTAL #	844	405	28	24	319	235	25	85	63	56	0	0	2	1	2	4
Time-Off Awards Given %	100%	47.99%	3.32%	2.84%	37.80%	27.84%	2.96%	10.07%	7.46%	6.64%	0.00%	0.00%	0.24%	0.12%	0.24%	0.47%
TOTAL Hours	13,316	6,393	438	378	5,015	3,722	386	1,342	1,020	871	0	0	32	16	32	64
Average Hours	16	16	16	16	16	16	15	16	16	16	0	0	16	16	16	16
<b>Time-Off Awards: 21 – 30 hours</b>																
TOTAL #	388	201	11	13	138	134	13	28	22	25	0	0	1	1	2	0
Time-Off Awards Given %	100%	51.80%	2.84%	3.35%	35.57%	34.54%	3.35%	7.22%	5.67%	6.44%	0.00%	0.00%	0.26%	0.26%	0.52%	0.00%
TOTAL Hours	9,325	4,831	264	312	3,318	3,219	312	678	528	598	0	0	24	24	48	0
Average Hours	24	24	24	24	24	24	24	24	24	24	0	0	24	24	24	0

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A9P: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—FY 2019  
(10/1/2018 THROUGH 9/30/2019) continued

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Time-Off Awards: 31 – 40 hours</b>																
TOTAL #	96	55	2	4	34	40	1	1	4	10	0	0	0	0	0	0
Time-Off Awards Given %	100%	57.29%	2.08%	4.17%	35.42%	41.67%	1.04%	1.04%	4.17%	10.42%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Hours	3,626	2,075	75	151	1,288	1,503	40	32	148	389	0	0	0	0	0	0
Average Hours	38	38	38	38	38	38	40	32	37	39	0	0	0	0	0	0
<b>Time-Off Awards: 41 + hours</b>																
TOTAL #	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Time-Off Awards Given %	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Hours	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Average Hours	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Time-Off Awards: 11 – 40 hrs</b>																
TOTAL #	1,328	661	41	41	491	409	39	114	89	91	0	0	3	2	4	4
Time-Off Awards Given %	100%	49.77%	3.09%	3.09%	36.97%	30.80%	2.94%	8.58%	6.70%	6.85%	0.00%	0.00%	0.23%	0.15%	0.30%	0.30%
TOTAL Hours	26,267	13,299	777	841	9,621	8,444	738	2,052	1,696	1,858	0	0	56	40	80	64
Average Hours	20	19	19	21	20	21	19	18	19	20	0	0	19	20	20	16

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A9P: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—FY 2019  
(10/1/2018 THROUGH 9/30/2019) continued

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races			
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
<b>Cash Awards</b>																		
<b>Cash Awards: \$500 and Under</b>																		
TOTAL Cash Awards Given	#	685	314	371	14	33	223	156	49	144	23	31	0	0	5	1	0	6
%		100%	45.84%	54.16%	2.04%	4.82%	32.55%	22.77%	7.15%	21.02%	3.36%	4.53%	0.00%	0.00%	0.73%	0.15%	0.00%	0.88%
TOTAL Amount		\$285,910	\$136,050	\$149,860	\$6,600	\$14,195	\$96,075	\$64,856	\$20,725	\$54,176	\$10,550	\$13,658	\$0	\$0	\$2,100	\$500	\$0	\$2,475
Average Amount		\$417	\$433	\$404	\$471	\$431	\$416	\$423	\$376	\$459	\$441	\$0	\$0	\$420	\$500	\$0	\$413	
<b>Cash Awards: \$501 to \$999</b>																		
TOTAL Cash Awards Given	#	525	290	235	19	16	214	132	27	59	29	24	0	0	1	0	0	4
%		100%	55.24%	44.76%	3.62%	3.05%	40.76%	25.14%	5.14%	11.24%	5.52%	4.57%	0.00%	0.00%	0.19%	0.00%	0.00%	0.76%
TOTAL Amount		\$388,845	\$214,986	\$173,859	\$14,027	\$12,405	\$158,876	\$97,694	\$19,964	\$43,203	\$21,369	\$17,698	\$0	\$0	\$750	\$0	\$0	\$2,859
Average Amount		\$741	\$741	\$740	\$738	\$775	\$742	\$740	\$739	\$732	\$737	\$737	\$0	\$0	\$750	\$0	\$0	\$715
<b>Cash Awards: \$1000 to \$1999</b>																		
TOTAL Cash Awards Given	#	1,341	776	565	50	25	593	353	40	105	88	75	0	0	3	2	2	5
%		100%	57.87%	42.13%	3.73%	1.86%	44.22%	26.32%	2.98%	7.83%	6.56%	5.59%	0.00%	0.00%	0.22%	0.15%	0.15%	0.37%
TOTAL Amount		\$1,680,941	\$982,267	\$698,674	\$66,403	\$32,130	\$748,362	\$434,663	\$49,777	\$125,948	\$111,925	\$98,183	\$0	\$0	\$3,000	\$2,000	\$2,800	\$5,750
Average Amount		\$1,253	\$1,266	\$1,237	\$1,328	\$1,285	\$1,262	\$1,231	\$1,244	\$1,200	\$1,272	\$1,309	\$0	\$0	\$1,000	\$1,000	\$1,400	\$1,150

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A9P: EMPLOYEE RECOGNITION AND AWARDS—PARTICIPATION BY RACE/ETHNICITY AND SEX—FY 2019  
(10/1/2018 THROUGH 9/30/2019) continued

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Cash Awards: \$2000 to \$2999</b>																
TOTAL Cash	217	95	122	1	95	66	3	16	15	11	0	0	0	0	0	1
Awards Given	100%	43.78%	56.22%	0.46%	43.78%	30.41%	1.38%	7.37%	6.91%	5.07%	0.00%	0.00%	0.00%	0.00%	0.00%	0.46%
TOTAL Amount	\$476,378	\$205,957	\$270,421	\$2,000	\$210,463	\$144,620	\$6,695	\$33,587	\$33,613	\$23,250	\$0	\$0	\$0	\$0	\$0	\$2,500
Average Amount	\$2,195	\$2,168	\$2,217	\$2,000	\$2,215	\$2,191	\$2,232	\$2,099	\$2,241	\$2,114	\$0	\$0	\$0	\$0	\$0	\$2,500
<b>Cash Awards: \$3000 or More</b>																
TOTAL Cash	98	39	59	2	50	30	0	5	7	3	0	0	0	0	0	0
Awards Given	100%	39.80%	60.20%	1.02%	51.02%	30.61%	0.00%	5.10%	7.14%	3.06%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Amount	\$323,345	\$137,345	\$186,000	\$6,000	\$157,500	\$96,345	\$0	\$19,000	\$21,000	\$16,000	\$0	\$0	\$0	\$0	\$0	\$0
Average Amount	\$3,299	\$3,522	\$3,153	\$6,000	\$3,150	\$3,212	\$0	\$3,800	\$3,000	\$5,333	\$0	\$0	\$0	\$0	\$0	\$0
<b>Other Awards</b>																
<b>Performance Based Pay Increase</b>																
TOTAL Perf Based Award	4,271	1,972	2,299	111	1,688	1,104	202	472	263	259	0	1	12	5	5	20
%	100%	46.17%	53.83%	2.60%	39.52%	25.85%	4.73%	11.05%	6.16%	6.06%	0.00%	0.02%	0.28%	0.12%	0.12%	0.47%
TOTAL Benefit	\$16,345,601	\$7,336,486	\$9,009,115	\$389,317	\$6,605,697	\$4,285,367	\$752,571	\$1,558,886	\$1,087,810	\$1,006,228	\$0	\$3,400	\$46,582	\$20,305	\$17,636	\$72,983
Average Benefit	\$3,827	\$3,720	\$3,919	\$3,507	\$3,913	\$3,882	\$3,726	\$3,303	\$4,136	\$3,885	\$0	\$3,400	\$3,882	\$4,061	\$3,527	\$3,649

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—FY 2019 (10/1/2018 THROUGH 9/30/2019)

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Time-Off Awards</b>																
<b>Time-Off Awards: 1 – 10 hours</b>																
TOTAL #	1,161	577	37	28	417	329	57	154	63	63	0	0	2	2	1	8
Time-Off Inc.	27.22%	25.15%	27.82%	25.45%	24.91%	29.94%	27.94%	32.56%	23.68%	23.86%	0.00%	0.00%	16.67%	40.00%	20.00%	40.00%
TOTAL Hrs Awarded	10,983	5,463	312	238	4,019	3,149	499	1,495	640	487	0	0	42	26	8	68
Avg. Hours per Emp.	9	10	8	9	10	10	9	10	10	8	0	0	21	13	8	9
<b>Time-Off Awards: 11 – 20 hours</b>																
TOTAL #	748	394	28	21	281	200	24	78	58	51	0	0	2	1	1	3
Time-Off Inc.	17.53%	17.18%	21.05%	19.09%	16.79%	18.20%	11.76%	16.49%	21.80%	19.32%	0.00%	0.00%	16.67%	20.00%	20.00%	15.00%
TOTAL Hrs Awarded	13,316	6,923	438	378	5,015	3,722	386	1,342	1,020	871	0	0	32	16	32	64
Avg. Hours per Emp.	18	18	16	18	18	19	16	17	18	17	0	0	16	16	32	21
<b>Time-Off Awards: 21 – 30 hours</b>																
TOTAL #	343	163	11	13	118	119	12	25	19	22	0	0	1	1	2	0
Time-Off Inc.	8.04%	7.11%	8.27%	11.82%	7.05%	10.83%	5.88%	5.29%	7.14%	8.33%	0.00%	0.00%	8.33%	20.00%	40.00%	0.00%
TOTAL Hrs Awarded	9,325	4,494	264	312	3,318	3,219	312	678	528	598	0	0	24	24	48	0
Avg. Hours per Emp.	27	28	24	24	28	27	26	27	28	27	0	0	24	24	24	0

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—FY 2019 (10/1/2018 THROUGH 9/30/2019) *continued*

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	All	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Time-Off Awards: 31 – 40 hours</b>																
TOTAL #	88	49	39	2	4	32	35	1	1	4	9	0	0	0	0	0
Time-Off Inc.	2.06%	2.48%	1.70%	1.50%	3.64%	1.91%	3.18%	0.49%	0.21%	1.50%	3.41%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Hrs Awarded	3,626	2,075	1,551	75	151	1,288	1,503	40	32	148	389	0	0	0	0	0
Avg. Hours per Emp.	41	42	40	38	38	40	43	40	32	37	43	0	0	0	0	0
<b>Time-Off Awards: 41 + hours</b>																
TOTAL #	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Time-Off Inc.	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Hours per Emp.	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Avg. Hours per Emp.	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Time-Off Awards: 11 – 40 hrs</b>																
TOTAL #	1,107	548	559	39	36	405	330	34	98	75	79	0	0	3	2	3
Time-Off Inc.	25.95%	27.79%	24.37%	29.32%	32.73%	24.19%	30.03%	16.67%	20.72%	28.20%	29.92%	0.00%	0.00%	25.00%	40.00%	60.00%
TOTAL Hrs Awarded	26,267	13,299	12,968	777	841	9,621	8,444	738	2,052	1,696	1,858	0	0	56	40	64
Avg. Hours per Emp.	24	24	23	20	23	24	26	22	21	23	24	0	0	19	20	27

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX—FY 2019 (10/1/2018 THROUGH 9/30/2019) *continued*

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Cash Awards</b>																	
<b>Cash Awards: \$500 and Under</b>																	
TOTAL #	581	271	310	13	30	190	128	42	122	22	24	0	0	4	1	0	5
Awarded Cash Inc.	13.62%	11.81%	15.72%	9.77%	27.27%	11.35%	11.65%	20.59%	25.79%	8.27%	9.09%	0.00%	0.00%	33.33%	20.00%	0.00%	25.00%
TOTAL Cash Awarded	\$285,910	\$136,050	\$149,860	\$6,600	\$14,195	\$96,075	\$64,856	\$20,725	\$54,176	\$10,550	\$13,668	\$0	\$0	\$2,100	\$500	\$0	\$2,475
Avg. Cash per Emp.	\$492	\$502	\$483	\$508	\$473	\$506	\$507	\$493	\$444	\$480	\$569	\$0	\$0	\$525	\$500	\$0	\$495
<b>Cash Awards: \$501 to \$999</b>																	
TOTAL #	504	279	225	18	15	207	127	26	57	27	22	0	0	1	0	0	4
Awarded Cash Inc.	11.81%	12.16%	11.41%	13.53%	13.64%	12.37%	11.56%	12.75%	12.05%	10.15%	8.33%	0.00%	0.00%	8.33%	0.00%	0.00%	20.00%
TOTAL Cash Awarded	\$388,845	\$214,986	\$173,859	\$14,027	\$12,405	\$158,876	\$97,694	\$19,964	\$43,203	\$21,369	\$17,698	\$0	\$0	\$750	\$0	\$0	\$2,859
Avg. Cash per Emp.	\$772	\$771	\$773	\$779	\$827	\$768	\$769	\$768	\$758	\$791	\$804	\$0	\$0	\$750	\$0	\$0	\$715
<b>Cash Awards: \$1000 to \$1999</b>																	
TOTAL #	1,251	723	528	48	25	552	327	37	96	81	74	0	0	3	2	2	4
Awarded Cash Inc.	29.32%	31.52%	26.77%	36.09%	22.73%	32.97%	29.75%	18.14%	20.30%	30.45%	28.03%	0.00%	0.00%	25.00%	40.00%	40.00%	20.00%
TOTAL Cash Awarded	\$1,680,941	\$982,267	\$698,674	\$66,403	\$32,130	\$748,362	\$434,663	\$49,777	\$125,948	\$111,925	\$98,183	\$0	\$0	\$3,000	\$2,000	\$2,800	\$5,750
Avg. Cash per Emp.	\$1,344	\$1,359	\$1,323	\$1,383	\$1,285	\$1,356	\$1,329	\$1,345	\$1,312	\$1,382	\$1,327	\$0	\$0	\$1,000	\$1,000	\$1,400	\$1,438

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.  
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE A9-2: EMPLOYEE RECOGNITION AND AWARDS—INCLUSION WITHIN THE PERMANENT WORKFORCE BY RACE/ETHNICITY AND SEX-FY 2019 (10/1/2018 THROUGH 9/30/2019) *continued*

AWARDS Permanent	TOTAL		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races		
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
<b>Cash Awards: \$2000 to \$2999</b>																	
TOTAL Awarded	215	122	93	9	1	95	65	3	15	15	11	0	0	0	0	0	1
Cash Inc.	5.04%	5.32%	4.72%	6.77%	0.91%	5.68%	5.91%	1.47%	5.64%	4.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	5.00%
TOTAL Cash Awarded	\$476,378	\$270,421	\$205,957	\$19,650	\$2,000	\$210,463	\$144,620	\$6,695	\$33,613	\$23,250	\$0	\$0	\$0	\$0	\$0	\$0	\$2,500
Avg. Cash per Emp.	\$2,216	\$2,217	\$2,215	\$2,183	\$2,000	\$2,215	\$2,225	\$2,232	\$2,241	\$2,114	\$0	\$0	\$0	\$0	\$0	\$0	\$2,500
<b>Cash Awards: \$3000 or More</b>																	
TOTAL Awarded	88	51	37	2	1	44	28	0	5	5	3	0	0	0	0	0	0
Cash Inc.	2.06%	2.22%	1.88%	1.50%	0.91%	2.63%	2.55%	0.00%	1.88%	1.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Cash Awarded	\$323,345	\$186,000	\$137,345	\$7,500	\$6,000	\$157,500	\$96,345	\$0	\$19,000	\$16,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Avg. Cash per Emp.	\$3,674	\$3,647	\$3,712	\$3,750	\$6,000	\$3,580	\$3,441	\$0	\$3,800	\$4,200	\$5,333	\$0	\$0	\$0	\$0	\$0	\$0
<b>Other Awards</b>																	
<b>Performance Based Pay Increase</b>																	
TOTAL Awarded	4,271	2,299	1,972	129	111	1,688	1,104	202	472	263	259	0	1	12	5	5	20
Perf. Based	100.12%	100.22%	100%	96.99%	100.91%	100.84%	100.45%	99.02%	99.79%	98.87%	98.11%	0.00%	100%	100%	100%	100%	100%
TOTAL Perf. Based	\$16,345,601	\$9,009,115	\$7,336,486	\$498,819	\$389,317	\$6,605,697	\$4,285,367	\$752,571	\$1,558,886	\$1,087,810	\$1,006,228	\$0	\$3,400	\$46,582	\$20,305	\$17,636	\$72,983
Avg. Benefit per Emp.	\$3,827	\$3,919	\$3,720	\$3,867	\$3,507	\$3,913	\$3,882	\$3,726	\$3,303	\$4,136	\$3,885	\$0	\$3,400	\$3,882	\$4,061	\$3,527	\$3,649

Notes: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]  
PAY PERIODS 201822 TO 201921

EMPLOYMENT TENURE	TOTAL		No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	Other PWD	Total PWD	PWD <sup>1</sup>	Developmental Disability [02]	Traumatic Brain Injury [03]	Deaf or Serious Difficulty Hearing [19]	Blind or Serious Difficulty Seeing [20]	Missing Extremities [31]	Significant Mobility Impairment [40]	Partial or Complete Paralysis [60]	Epilepsy or Other Seizure Disorders [82]	Intellectual Disability [90]	Significant Psychiatric Disorder [91]	Dwarfism [92]	Significant Disfigurement [93]
	#	%																		
Prior FY	4,448	100%	3,844	219	345	40	385	89	0	1	38	9	2	6	7	3	1	18	1	3
Current FY	4,365	100%	3,776	212	336	41	377	85	0	1	38	8	3	5	6	3	1	16	1	3
Difference	-83		-68	-7	-9	1	-8	-4	0	0	0	-1	1	-1	-1	0	0	-2	0	0
Ratio Change	0.00%		0.09%	-0.06%	-0.06%	0.04%	-0.02%	-0.05%	0.00%	0.00%	0.02%	-0.02%	0.03%	-0.02%	-0.02%	0.00%	0.00%	-0.03%	0.00%	0.00%
Net Change	-1.87%		-1.77%	-3.20%	-2.61%	2.50%	-2.08%	-4.49%	0.00%	0.00%	0.00%	-11.11%	50.00%	-16.67%	-14.29%	0.00%	0.00%	-11.11%	0.00%	0.00%

<sup>1</sup> "Other PWD" include employees, who did not self-identify on SF-256, and who were coded on Veterans' Preference for hiring as "CPS—preference based on a compensable service-connected disability of 30% or more" or were hired or converted into the competitive service under Schedule A(u).

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019

TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]  
 PAY PERIODS 201822 TO 201921 *continued*

EMPLOYMENT TENURE	TOTAL		No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	Other PWD	Total PWD	PWD <sup>1</sup>	Developmental Disability [02]	Traumatic Brain Injury [03]	Deaf or Serious Hearing [19]	Blind or Serious Difficulty Seeing [20]	Missing Extremities [31]	Significant Mobility Impairment [40]	Partial or Complete Paralysis [60]	Epilepsy or Other Seizure Disorders [82]	Intellectual Disability [90]	Significant Psychiatric Disorder [91]	Dwarfism [92]	Significant Disfigurement [93]
	#	%																		
Prior FY	4,359	100%	3,765	212	342	40	382	88	0	1	38	8	2	6	7	3	1	18	1	3
Current FY	4,266	100%	3,686	208	331	41	372	84	0	1	38	7	3	5	6	3	1	16	1	3
Difference	-93		-79	-4	-11	1	-10	-4	0	0	0	-1	1	-1	-1	0	0	-2	0	0
Ratio Change	0.00%		0.03%	0.01%	-0.09%	0.04%	-0.04%	-0.05%	0.00%	0.00%	0.02%	-0.02%	0.02%	-0.02%	-0.02%	0.00%	0.00%	-0.04%	0.00%	0.00%
Net Change	-2.13%		-2.10%	-1.89%	-3.22%	2.50%	-2.62%	-4.55%	0.00%	0.00%	0.00%	-12.50%	50.00%	-16.67%	-14.29%	0.00%	0.00%	-11.11%	0.00%	0.00%
Federal Goal							<b>12.00%</b>	<b>2.00%</b>												

<sup>1</sup> "Other PWD" include employees, who did not self-identify on SF-256, and who were coded on Veterans' Preference for hiring as "CPS—preference based on a compensable service-connected disability of 30% or more" or were hired or converted into the competitive service under Schedule A(u).

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201921, downloaded on 11/12/2019







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